DOCUMENT RESUME

ED 296 732 IR 052 396

AUTHOR Howard, Clinton
TITLE Approval Plans. SPEC Kit 141.
INSTITUTION Association of Research Libraries, Washington, D.C. Office of Management Studies.
PUB DATE Feb 88
NOTE 137p.
AVAILABLE FROM Systems and Procedures Exchange Center, Office of Management Studies, 1527 New Hampshire Ave., NW, Washington, DC 20036 (prepayment is required; members $10.00; non-members $20.00 plus $5.00 postage).
PUB TYPE Guides - Non-Classroom Use (055) -- Legal/Legislative/Regulatory Materials (090) -- Reports - Research/Technical (143)

EDRS PRICE MF01 Plus Postage. PC Not Available from EDRS.
DESCRIPTORS *Academic Libraries; *Costs; Evaluation Criteria; Guidelines; Higher Education; *Library Acquisition; *Library Automation; Library Expenditures; *Library Material Selection; Library Research; Library Surveys; Position Papers; *Research Libraries
IDENTIFIERS *Approval Plans; Vendors

ABSTRACT

This SPEC kit is based on a June 1987 survey of approval plan use by 94 members of the Association of Research Libraries. It reports on the current practices of these libraries, the perceived advantages and disadvantages of using approval plans, and the effect of increased library materials costs and library automation on such plans. It is noted that the survey responses suggest that the main concern for many librarians has shifted from the soundness of the basic premise of approval plans, to defining precisely which areas of acquisitions are best suited for approval plans, and developing effective approval plan policies and procedures in those areas. In addition to the complete survey instrument and a summary of the survey results, this kit contains examples of questions and criteria for evaluating vendors from the University of Oregon and the University of Waterloo (Ontario); examples of profiles, descriptions, and guidelines from the Library of Congress, University of North Carolina, Arizona State University, New York Public Library, and University of Texas; and examples of processing procedures and review of approval receipts from Arizona State University, Indiana University, and the University of Washington. (6 references) (EW)

****
* Reproductions supplied by EDRS are the best that can be made *
* from the original document. *
****

System and Procedures Exchange Center

ORDER FORM

(202) 232-8656

THIS FORM SERVES AS A PROFORMA INVOICE **FED. ID #52-0784198-N**

*** * * KITS ALSO ARE AVAILABLE BY SUBSCRIPTION, FROM VENDORS OR DIRECT * * ***

To order, fill out below and send with PREPAYMENT* to: ARL Office of Management Studies, 1527 New Hampshire Ave. NW, Washington, DC 20036. Claims must be made withing 90 days. (*ARL library members may be billed. ARL per-Kit cost is $10.00)

Purchase Order #: _____ Shipping Address: _____

Date: ____/____/____ _____

OMS Client No.:_____ _____
(see mailing label)

TOTAL NUMBER of Kits ordered: _____ _____ (ZIP) _____

X _____ **$20 per Kit ($25 outside U.S.)**

TOTAL AMOUNT ENCLOSED $_____

For Internal Use

Date: ____/____/____
Postage

PREPAYMENT IS REQUIRED

_____ 141.Approval Plans
_____ 140.Performance Appraisal
_____ 139.Evaluation/Reference
_____ 138.University Copyright Policies
_____ 137.Preservation Guidelines
_____ 136.Management Copy Cataloging
_____ 135.Job Analysis
_____ 134.Planning Mngt. Statistics
_____ 133.Optical Discs
_____ 132.Library-Scholar Communic.
_____ 131.Collection Develop.Organiz.
_____ 130.Retrospective Conversion
_____ 129.Organization Charts
_____ 128.Systems Office Organiz.
_____ 127.Interlibrary Loan
_____ 126.Automated Library Systems
_____ 125.Tech.Services Cost Studies
_____ 124.Barcoding of Collections
_____ 123.Micro.Software Policies
_____ 122.End-User Search Services
_____ 121.Bibliographic Instruction
_____ 120.Exhibits
_____ 119.Catalog Maintenance Online
_____ 118.Unionization
_____ 117.Gifts and Exchange Function
_____ 116.Organizing for Preservation
_____ 115.Photocopy Services
_____ 114.Binding Operations

_____ 113.Preservation Education
_____ 111.Coop.Collection Development
_____ 110.Local Cataloging Policies
_____ 109.Staff Training Automation
_____ 108.Strategic Planning
_____ 107.University Archives
_____ 106.Electronic Mail
_____ 105.Nonbibl. Databases
_____ 104.Microcomputers
_____ 103.Asst./Assc.Director Position
_____ 102.Copyright Policies
_____ 101.User Studies
_____ 100.Collection Security
_____ 99.Branch Libraries
_____ 97.Building Renovation
_____ 96.Online Catalogs
_____ 95.Lib.Materials Cost Studies
_____ 90.Integrated Lib.Info.Systm
_____ 86.Professional Development
_____ 85.Personnel Classif.Systems
_____ 84.Public Serv.Goals-Objs.
_____ 83.Approval Plans
_____ 82.Document Delivery Systems
_____ 81.Services to Disabled
_____ 80.Specialty Positions
_____ 79.Internships/Job Exchanges
_____ 78.Recruitment-Selection
_____ 76.Online Bibliog.Search Servs.

SEE BACK

_____ 75.Staff Development
_____ 74.Fees for Services
_____ 73.External User Servs.
_____ 72.Executive Review
_____ 70.Preservation Procedures
_____ 68.AACR2 Implement.Studies
_____ 67.Affirmative Action Progs.
_____ 64.Indirect Cost Rates
_____ 63.Collective Bargaining
_____ 57.Special Collections
_____ 56.External Communication
_____ 54.Internal Communication
_____ 49.Use of Annual Reports
_____ 48.External Fund Raising
_____ 47.Automated Cataloging
_____ 46.Planning Card Catalog
_____ 31.Allocation of Resources
_____ 29.The Systems Function
_____ 20.Manager-Tech.Specialists
_____ 19.Staff Associations
_____ 8.Collective Bargaining
_____ 7.Personnel Classif.Schemes
_____ 3.Personnel Organization
_____ 1.Organization Charts

* * *

SPEC Kits (ISSN 0160 3582) are available by subscription through subscription services or direct from the publisher. Individual issues cost $20.00, plus $5.00 postage outside the U.S., through distributors or direct. (ARL member price $10.00.) Prepayment is required. If ordering direct, send check payable to "ARL Office of Management Studies" to: SPEC, Office of Management Studies, 1527 New Hampshire Ave., N.W., Washington, D.C. 20036. Order by Kit Number and Title.

spec flyer
#141—February 1988
OMS
Systems and Procedures Exchange Center
ISSN 0160 3582

APPROVAL PLANS

Since Anthony Panizzi first commissioned Henry Stevens to supply American books to the British Museum almost a century and a half ago, the basic premise of approval plans has changed little: In some areas of purchasing, automatic acquisition is preferable to individual selection and ordering. Since the 1960's, when Richard Abel made a proposal for coverage of North American publications, this premise has gained wide acceptance, and approval plans have become a common and important feature of collection development in research libraries.

In March 1982, *SPEC Kit #83* reported on a survey of approval plan use by members of the Association of Research Libraries (ARL). The current kit (#141, February 1988) is based on a June 1987 survey which covered the points of continuity and consensus in approval plan use over the past four years, as well as the diversity of ways in which librarians assess these plans. The 1987 survey also explored the impact of automation and the recent increases in materials costs.

CURRENT PRACTICES. It is apparent that in certain important respects, approval plans are a stable institution. The percent of ARL libraries using them, 93.6% (88 of 94 respondents), has increased somewhat from the 1982 figure of 85%. There has been little change in the balance of domestic and foreign coverage. In 1987, 12.6% of respondents report having only domestic plans, 2.3% have only foreign, while the majority, 86.2%, have both. Use of major approval plans also has remained generally constant. The total market for approval plans in 1987 was large. Total expenditures reported by 81 ARL libraries amounted to more than $25.8 million. Over $17 million was spent on domestic plans, and $8.4 million on foreign.

What is striking about the 1987 data, as well as the 1982 data, is that within relatively constant aggregate figures, there exists a remarkable diversity of practice. Of respondents having approval plans at all, the number in use varies from 1 to 70. The range for domestic plans is from 1 to 27, and on foreign plans from 1 to 52. Total annual expenditures are reported from a low of $800 to a high of $1,000,000. Amounts spent on domestic plans range from $800 to $500,000, and on foreign plans from $1,300 to $750,000. Notable also is the diversity of types of approval plans.

Sixty-three libraries use 312 plans covering a wide variety of special subjects; 24 libraries use 93 publishers plans, and 18 libraries use 26 special format plans. It is evident from use patterns and comments that while some libraries view approval plans primarily as a method of mass acquisition, others find value in smaller plans focusing on specific geographical areas, subjects, or formats.

ADVANTAGES AND DISADVANTAGES. Respondents are clearly more often concerned with savings of staff time in selection and processing than with other advantages. Vendor discounts, though frequently cited as an advantage, are generally ranked below other factors in importance. Speed of delivery is highly valued. However, a number of other considerations, including vendor services, consolidation of ordering, continuity and protection against staff turnover, and supplementing staff subject expertise with that of a vendor, are also significant.

Among disadvantages, the tendency to retain marginal material and the time required for review of coverage are mentioned most often. Deficiencies in coverage of small presses, societies and institutes are matters of concern, as is absence of advance information on titles being supplied. The attitudes of librarians about approval plans are, in general, balanced. It is evident that there is no single factor that convinces librarians of the value of approval plans; nor are they seen as having any single, transcendent flaw.

LIBRARY MATERIALS COSTS. One of the most serious current problems for approval plans is the recent and rapid increase in the cost of library materials, notably as a result of dollar devaluation. Concern about this problem is widespread, and is having an impact on approval plans. Of 88 respondents, 56 report that they will be reevaluating their use or management of approval plans for financial reasons. It appears from respondents' comments that this concern is not resulting in any reconsideration of the value of approval plans as such. Indeed, some libraries cite financial austerity as increasing the need for approval plans. However, there is a definite trend toward reduction of foreign purchasing.

In addition, approval plans in general are being subjected to increased scrutiny and to a number of actions aimed at reducing costs. These include imposition of budget ceilings,

The Systems and Procedures Exchange Center (SPEC) is operated by the Association of Research Libraries, Office of Management Studies, 1527 New Hampshire Avenue, N.W., Washington, D.C. 20036. Telephone (202) 232-8656.

mid-year suspensions, increased reliance on form selections, more frequent review and narrowing of profiles, increased returns, imposition or reduction of price limits per title, elimination of duplicate copy purchasing, and internal budgeting changes for tighter control of expenditure. There is little mention of changing vendors or of negotiation for improved financial terms.

AUTOMATION. A second development which has great potential to affect approval plans is automation. It is likely, for example, that one effect of automating basic acquisitions functions will be to lower the per title processing cost of firm orders, which is generally thought to be higher than that for approval books, and weaken substantially one of the main economic arguments for approvals. At the same time, the kinds of information and analysis made possible by automated acquisitions provide a great potential for librarians to handle large approval plans more effectively. Automation of accounting, in particular, makes possible cost-effective use of more complex fund structures which can increase accountability and control of expenditures.

As automation moves beyond basic functions to the establishment of system links between the library and its vendors, other changes become possible. Downloading of bibliographic and accounting data into the library system can provide advance information on titles to be supplied and on the status of claims. There is potential also for title-by-title review and authorization of proposed shipments. This approach would speak to some librarians' concerns for control of selection and expenditure rates, and to vendors' concerns for return rates, although it also might erode the now clear distinction between approvals and firm orders.

However, it is clear that the effect of automation on approval plans is not yet very great. Only 24 respondents report that automation has caused changes in use or management of approval plans. Only 14 have implemented direct transmission of data from approval vendors. A total of seven vendors are mentioned as providing this capability. A number of respondents mention in their comments that acquisitions automation is in progress or being planned. It seems likely that in the immediate future the greatest changes in approval plans will be driven by automation, as acquisitions systems become increasingly prevalent and sophisticated, and as vendors and libraries discover ways of using this new capability to mutual advantage.

ISSUES AND TRENDS. A main conclusion suggested by survey responses is that for many librarians, the major concern with approval plans is no longer with the soundness of their basic premise. It is, instead, with defining precisely the areas of acquisitions in which that premise is valid for a particular library, and with developing policies and procedures for the administration of approval plans that will enable the library to use them most effectively.

After many years of experimentation, librarians and vendors have devised numerous types of plans, techniques of profiling, means of communicating bibliographic and financial data, and financial terms. Librarians have understood that the value of approval plans does not depend on the vendor alone, and accordingly have created a variety of internal arrangements for budgeting and accounting, processing, and reviewing of receipts. They also have involved appropriate staff members and found ways of informing them about the operation of approval plans. For many librarians an important current issue is selecting from this variety of possible plans and internal procedures the combination that will work best for their library.

The SPEC Kit on Approval Plans (#141, February 1988) contains tabulated survey results; two examples of questions and criteria for evaluating vendors; five examples of profiles, descriptions, and guidelines; three examples of processing and review of approval receipts; and a selected reading list.

* * *

This flyer and kit was prepared by Clinton Howard, Assistant Dean for Technical Services, University of Kansas Libraries, as part of the OMS Collaborative Research Writing Program.

SPEC Flyer copyright© 1988 by Association of Research Libraries, Office of Management Studies. This SPEC Flyer may not be reproduced in any form without permission from the publisher.

SPEC Kits (ISSN 0160 3582) are available by subscription through subscription services or direct from the publisher. Individual issues cost $20.00, plus $5.00 postage outside the U.S. (ARL member cost is $10.00.) Prepayment is required. If ordering direct, send check payable to "ARL Office of Management Studies" to: SPEC, Office of Management Studies, 1527 New Hampshire Ave., N.W., Washington, D.C. 20036. Order by Kit Number and Title.

spec

Table of Contents

OMS

Systems and Procedures Exchange Center

ISSN 0160 3582

Approval Plans
Kit #141
February 1988

TABULATED SURVEY RESULTS 1

QUESTIONS AND CRITERIA FOR EVALUATING VENDORS

Oregon, University of — Approval Plan for Library Materials in the Sciences; 12/19/86 31

Questions for Science Approval Plan Vendor Presentations; 5/87 35

Waterloo, University of — Selection of a Vendor for a Consolidated Dealer Selection Plan for North American and British Imprints; 8/13/86 39

PROFILES, DESCRIPTIONS, GUIDELINES

Library of Congress — General Blanket Order; 7/86 44

North Carolina, University of — Social Sciences Approval Plan (SSAP) Profile; 10/86 51

Arizona State University — Approval and Blanket Order Manual; 1/9/84.....59

New York Public Library — General Order 71

Texas, University of — Approval Plan for Domestic U.S. Publications; 5/28/86 93

PROCESSING AND REVIEW OF APPROVAL PLANS

Arizona State University — ASU Libraries Collection Development Manual; 12/84 103

Indiana University — UGL Approval Plan; 3/85 109

Museum and Gallery Publications Acquisitions Program--Draft Procedures; 9/84 112

Washington, University of — Acquisitions Division Manual--Approval Programs; 3/30/87 114

Acquisitions Division Manual--Selector Review Area; 7/2/86 121

SELECTED READING LIST 124

Tabulated Survey Results

System and Procedures Exchange Center

OMS

Office of Management Studies, Association of Research Libraries
1527 New Hampshire Avenue, N.W., Washington, D.C. 20036 • 202-232-8656

June 12, 1987

TO: SPEC Liaisons

FROM: SPEC Center, Maxine K. Sitts (phone above)
Clinton Howard, University of Kansas Libraries
Phone (913) 864-3476

RE: Update of 1982 SPEC Kit on Approval Plans

Five years ago, we published SPEC Kit #83, **Approval Plans in ARL Libraries** (April 1982), which was based on the responses of 101 ARL members to a SPEC survey. The Kit included documents and survey results that gave a fairly complete picture of the rationales librarians had developed for having or not having approval plans, their extent of use, and the ways in which plans were administered.

Since that time, libraries have gained considerably more experience with approval plans, and have operated them in an environment that has changed greatly in terms of materials prices and automation.

This new survey does not deal with the daily mechanics of approval plans. Instead, it is intended to ascertain the extent to which librarians' thinking about the use of approval plans has changed in the past five years, and to identify changes in the extent to which such plans are used. In addition, it is intended to determine how library use of approval plans has been affected by automation and by loss in purchasing power of book budgets.

We are sending this survey to all ARL member libraries, and we hope to obtain a response comparable to that in 1982, in order to compare results most favorably. It will contribute greatly to the usefulness of the Kit if copies of approval plan studies and other related documents are sent when returning this survey. If you have concerns about completing the survey by the deadline or other questions, please contact Maxine at the OMS. Clint also can be contacted for additional information.

Return survey AND DESCRIPTIVE MATERIALS by July 14, 1987, to:

Clinton Howard PHONE: (913) 864-3476
c/o SPEC Questionnaire
University of Kansas Libraries
Lawrence, Kansas 66045

System and Procedures Exchange Center

JUNE 12, 1987 OMS

Office of Management Studies, Association of Research Libraries
1527 New Hampshire Avenue, N.W., Washington, D.C. 20036 • 202-232-8656

APPROVAL PLANS IN ARL LIBRARIES

Respondent Name _____

Phone Number (AC)_____

Library _____

For this survey, an approval plan is defined as an acquisition plan with a dealer for selection of monographic materials, and having return privileges.

1. Does your library currently use approval plans?

_____ YES _____ NO

If YES, continue with QUESTION 2. If NO, go to Page 4.

2. About how many plans does the library maintain in the following categories?

NUMBER OF PLANS

_____ Domestic
_____ Foreign

* *

NUMBER OF PLANS

_____ University press books
_____ General/multi-subject
_____ Special subject
_____ Publisher approval plan
_____ Special format plan
_____ Other(s). Specify: _____

3. Approximately how much does the library spend with approval plans each year (materials only)?

$_____ Domestic
$_____ Foreign

4. From the following listing, indicate the five major reasons for originally instituting approval plans (1=most important).

_____ Staff time savings in selection
_____ Staff time savings in processing
_____ Broader basis of coverage for selection
_____ Improved collection development
_____ As response to increased book budget
_____ Faster receipt of materials
_____ Size of discount offered by vendor
_____ Other(s). Specify: _____

ENCLOSE MATERIALS DESCRIBING THE LIBRARY'S JUSTIFICATIONS.

5. From the following listing, indicate the five major benefits the library has identified for using approval plans (1=most important).

_____ Consolidated ordering
_____ Provided continuity and protection against staff turnover
_____ Facilitated returns
_____ Helped keep workload even throughout the year
_____ Facilitated collecting in limited, specific areas
_____ Provided current imprints quickly
_____ Helped give general coverage where no specific academic program exists
_____ Acquired books before going out of print
_____ Provided coverage in areas where staff subject expertise is weak
_____ Allowed library to take advantage of vendor specialties and subject expertise
_____ Enabled more effective teaching faculty role in selection
_____ Enabled more effective review of collection policies and practices
_____ Supplied useful statistical information from vendor
_____ Provided useful vendor services (reports, slips, etc.)
_____ Other(s). Specify _____

6. From the following listing, indicate the five major disadvantages the library has identified in using approval plans (1=most important).

_____ Have received excessive duplicate materials.
_____ Vendor profiling has been ambiguous or insufficient
_____ Return rates have been unreasonably high
_____ There has been no advance information on which titles will be supplied
_____ There has been a tendency for the library to accept marginal material
_____ Review of coverage and follow-up on titles not received has been time-consuming
_____ Library has had incomplete control over expenditures and has been in danger of overspending
_____ Usual selection sources have still needed to be checked
_____ Coverage of small presses, societies, institutes, museums, etc. has been inadequate
_____ Vendor has been unwilling to conform to library's requirements
_____ Vendor has been inaccurate and unreliable in keeping accounts
_____ Other(s). Specify: _____

ENCLOSE MATERIALS DESCRIBING BENEFITS AND DISADVANTAGES.

7. Which of the following staff are actively involved in the administration of approval plans?

_____ Head of collection development
_____ Head of acquisitions
_____ Head of technical services
_____ Acquisitions/technical services staff
_____ Selectors
_____ Other(s). Specify: _____

8. Which of the following staff review books?

_____ Head of collection development
_____ Head of acquisitions
_____ Selectors
_____ Teaching faculty
_____ Head of technical services
_____ Acquisitions/technical services staff
_____ Other(s). Specify: _____

9. On which aspects of approval plans are statistics kept?

_____ Number of titles received
_____ Number of volumes received
_____ Number of returns
_____ Number of claims made
_____ Titles or volumes by subject
_____ Titles or volumes by country of origin
_____ Total expenditures
_____ Total expenditure by vendor
_____ Total expenditure by subject
_____ Total expenditure by country of origin
_____ Other(s). Specify: _____

10. Has automation of acquisitions caused the library to change its use or management of approval plans?

_____ YES _____ NO

Comment briefly below or ENCLOSE MATERIALS.

11. Are current financial changes, including devaluation of the dollar or other changes, causing the library to re-evaluate its use or management of approval plans?

_____ YES _____ NO

Comment briefly below, or ENCLOSE MATERIALS.

12. Does the library have direct transmission of data between its automated acquisitions system and an approval vendor?

_____ YES _____ NO

If YES, specify vendors:

FOR LIBRARIES WITHOUT CURRENT APPROVAL PLANS

1. Has the library ever considered approval plans?

_____ YES, in past
_____ YES, currently considering
_____ NO

ENCLOSE STUDIES, PROPOSALS

2. If the library decided not to use approval plans, indicate the three major reasons for this decision (1=most important).

_____ Expense of plans
_____ Lack of funds
_____ Staff resistance
_____ Teaching faculty resistance
_____ Profile/vendor difficulties
_____ Other(s). Specify: _____

ENCLOSE STUDIES, PROPOSALS

3. Has the library ever discontinued an approval plan?

_____ YES _____ NO

If YES, indicate the three major reasons for discontinuing (1=most important).

_____ Lack of funds
_____ Staff resistance
_____ Faculty resistance
_____ Profile unsatisfactory
_____ High return rate
_____ Vendor unsatisfactory
In what ways(s):

_____ Other:

ENCLOSE STUDIES, PROPOSALS

****

Return survey AND DESCRIPTIVE MATERIALS by July 14, 1987 to:

Clinton Howard PHONE: (913) 864-3476
c/o SPEC Questionnaire
University of Kansas Libraries
Lawrence, Kansas 66045

System and Procedures Exchange Center
OMS
Office of Management Studies, Association of Research Libraries
1527 New Hampshire Avenue, N.W., Washington, D.C. 20036 • 202-232-8656

RESPONSES TO QUESTIONNAIRE

Response Rate:

Total responses received: 94 out of 118 (79%)

Academic libraries responding: 86 out of 106 (81%)

Non-academic libraries responding: 8 out of 12 (67%)

Question 1: Does your library currently use approval plans?

Yes:	88	(93.6%)
No:	6	(6.4%)
Total:	94	

Yes responses include: 81 of 86 academic libraries (94.2%)
7 of 8 non-academic libraries (87.5%)

No responses include: 5 of 86 academic libraries (5.8%)
1 of 8 non-academic libraries (12.5%)

Question 2: About how many plans does the library maintain in the following categories?

Domestic	University press books
Foreign	General/multi-subject
	Special subject
	Publisher approval plan
	Special format plan
	Other(s)

Of 87 libraries enumerating types of plan: 10 (11.5%) have only domestic
2 (2.3%) have only foreign
75 (86.2%) have both

(Because of rounding, percentages do not always equal 100.)

Question 2 (cont.)

The total number of plans reported for a single library varies from 1 to 70. Distribution is as follows:

no. plans	no. of libraries	no. plans	no. of libraries
1	9	15	1
2	8	16	1
3	9	17	1
4	6	18	3
5	4	22	1
6	7	26	1
7	5	28	1
8	6	29	1
9	4	30	2
10	1	33	2
11	2	36	1
12	3	43	1
13	2	59	1
14	3	70	1

The total number of domestic plans reported for a single library varies from 1 to 27. Distribution is as follows:

no. plans	no. of libraries	no. plans	no. of libraries
1	27	8	4
2	17	9	2
3	15	12	1
4	6	14	1
5	5	18	2
6	1	21	1
7	2	27	1

The total number of foreign plans reported for a single library varies from 1 to 52. Distribution is as follows:

no. plans	no. of libraries	no. plans	no. of libraries
1	13	15	1
2	11	16	1
3	12	18	1
4	6	20	1
5	4	21	1
6	3	25	2
7	8	26	1
8	1	27	1
10	1	31	1
11	2	45	1
12	3	52	1
13	1		

Question 2 (cont.)

University press plans are reported by 38 libraries. The number for a single library varies from 1 to 3. Distribution is as follows:

no. plans	no. of libraries
1	30
2	7
3	1

General/multi-subject plans are reported by 67 libraries. The number for a single library varies from 1 to 53. Distribution is as follows:

no. plans	no. of libraries	no. plans	no. of libraries
1	16	12	1
2	15	13	2
3	11	18	1
4	3	21	1
5	3	26	1
6	4	27	1
7	1	28	2
8	3	37	1
11	1	53	1

Special subject plans are reported by 63 libraries. The number for a single library varies from 1 to 24. Distribution is as follows:

no. plans	no. of libraries	no. plans	no. of libraries
1	16	9	1
2	9	11	1
3	8	12	3
4	6	14	3
5	8	15	1
6	2	19	1
7	2	24	1
8	1		

Publisher approval plans are reported by 24 libraries. The number for a single library varies from 1 to 24. Distribution is as follows:

no. plans	no. of libraries
1	11
2	6
3	1
4	1
6	1
8	2
17	1
24	1

Question 2 (cont.)

Special format plans are reported by 18 libraries. The number for a single library varies from 1 to 3. Distribution is as follows:

no. plans	no. of libraries
1	11
2	6
3	1

Other types of plans are reported by 2 libraries. Each reports having 1 such plan.

Among the 87 libraries enumerating types of plan, a total of 934 plans of all types are reported. This figure includes:

335 domestic plans (35.9% of total)
599 foreign plans (64.1% of total)

The following totals are reported for specific types of plan:

University press	47	(5.1%)
General/multi-subject	448	(48.2%)
Special subject	312	(33.6%)
Publisher approval plan	93	(10.0%)
Special format plan	26	(2.8%)
Other	2	(.2%)
Total	928	

Question 3: Approximately how much does the library spend with approval plans each year (materials only)?

Domestic
Foreign

Of 88 libraries with approval plans: 7 gave no response to this question or said that figures were not readily available; 1 gave only a combined domestic/foreign total

Number of Libraries Reporting Domestic and Foreign Expenditures

Expenditure Range	Domestic	Foreign
US$ 0 - 50,000	11	32
50,001-100,000	5	11
100,001-150,000	13	7
150,001-200,000	11	5
200,001-250,000	10	4
250,001-300,000	12	6
300,001-350,000	10	1
350,001-400,000	3	2
450,001-500,000	4	1
700,001-750,000	1	1

Number of Libraries Reporting Total Expenditures

Expenditure Range	No. of Libraries
US$ 0 - 50,000	6
50,001-100,000	5
100,001-150,000	4
150,001-200,000	14
200,001-250,000	10
250,001-300,000	11
300,001-350,000	3
350,001-400,000	4
400,001-450,000	6
450,001-500,000	3
500,001-550,000	3
550,001-600,000	2
600,001-650,000	3
650,001-700,000	1
700,001-750,000	1
750,001-800,000	2
800,001-850,000	0
850,001-900,000	1
900,001-950,000	0
950,001-1,000,000	2

The combined expenditures reported amount to: $25,818,035 total expenditure*
17,144,709 for domestic plans
8,413,317 for foreign plans

*Domestic and foreign subtotals do not equal total expenditures because of inconsistencies in reported data. Some figures reported are estimates only.

Question 4: From the following listing, indicate the five major reasons for originally instituting approval plans (1=most important).

Distribution and total number of responses for each reason are as follows:

	ranking of response					
	1	2	3	4	5	total responses
Staff time savings in selection	32	18	14	8	1	73
Staff time savings in processing	5	17	13	22	16	73
Broader basis of coverage for selection	11	19	8	10	4	52
Improved collection development	25	14	11	9	8	67
As response to increased book budget	2	1	2	4	3	12
Faster receipt of materials	9	13	24	18	7	71
Size of discount offered by vendor	1	3	8	7	26	45
Other	2	-	2	1	4	9

Reasons specified as "Other" include:

Libraries'control of book budget

To decrease possibility of missing materials

To adjust for increased selection

Impossible to select on a timely basis - no bibliographic control available (foreign plan)

To obtain difficult to acquire materials (Russian)

To preview titles before making decision to obtain

Easier returns

1 plan dates from days of Farmington plan

Response to decreased book funds

Question 5: From the following listing, indicate the five major benefits the library has identified for using approval plans (1=most important).

Distribution and total number of responses for each benefit are as follows:

	ranking of response					
	1	2	3	4	5	total responses
Consolidated ordering	10	11	5	9	2	37
Provided continuity and protection against staff turnover	4	7	7	7	10	35
Facilitated returns	-	2	1	1	6	10
Helped keep workload even throughout the year	1	4	9	9	6	29
Facilitated collecting in limited, specific areas	9	9	4	8	4	34
Provided current imprints quickly	39	17	13	2	-	71
Helped give general coverage where no specific academic program exists	3	3	3	4	4	17
Acquired books before going out of print	1	12	10	10	13	46
Provided coverage in areas where staff expertise is weak	5	3	7	5	4	24
Allowed library to take advantage of vendor specialties and subject expertise	2	4	8	4	6	24
Enabled more effective faculty role in selection	-	2	-	-	3	5
Enabled more effective review of collection policies and practices	4	1	5	3	2	15
Supplied useful statistical information from vendor	-	-	1	7	6	14
Provided useful vendor services (reports, slips, etc.)	-	5	4	12	7	28
Other(s)	4	3	5	-	3	15

Reasons specified as "Other" include:

Frees subject selectors to concentrate on more elusive but important publications for a research library

Reduced clerical and selection workload

Cheaper processing

Coverage for 3d world areas with weak selection tools

Magnetic tapes with bibliographic information provided for approval shipments

Provide advance encumbrance of funds

Guaranteed discount; also eliminates false encumbrances for Soviet materials that never get published

We have found that there are no benefits for us and are considering discontinuing the one plan that we now have

Enables to acquire when selection is difficult

Loading tapes

Staff time savings in selection and processing

Faster receipt of many titles

Increased discounts and decreased postage charges

More informed selection decision process

Provided core collection coverage, enabling selectors to concentrate on more fugitive or older imprints

Provided most current imprints the library would have ordered anyway in a relatively timely manner

Provide machine-readable bib. data

Time savings in selection. Vendor tape loads of bibliographic and accounting data save input time, help identify duplicates entered from other sources

Question 6: From the following listing, indicate the five major disadvantages the library has identified in using approval plans (1=most important).

Distribution and total number of responses for each disadvantage are as follows:

	ranking of response					
	1	2	3	4	5	total responses
Have received excessive duplicate materials	2	1	3	5	5	16
Vendor profiling has been ambiguous or insufficient	7	5	8	4	6	30
Return rates have been unreasonably high	1	2	4	4	4	15
There has been no advance information on which titles would be supplied	11	10	4	6	7	38
There has been a tendency for the library to accept marginal material	22	15	5	8	10	60
Review of coverage and follow-up on titles not received has been time-consuming	15	15	12	3	4	49
Library has had incomplete control over expenditures and has been in danger of overspending	8	9	5	5	-	27
Usual selection sources have still needed to be checked	6	8	15	17	3	49
Coverage of small presses, societies, institutes, museums etc. has been inadequate	6	10	13	5	10	44
Vendor has been unwilling to conform to library's requirements	-	-	-	2	-	2
Vendor has been inaccurate and unreliable in keeping accounts	1	1	-	-	1	3
Other(s)	3	4	4	3	4	18

Reasons specified as "Other" and comments include:

Overlap of publications supplied by European vendors and American vendors

The Collection Development Department has worked closely with the vendors, and currently the kinds of disadvantages listed are not being experienced. Vendors have been changed as necessary over the years, to assure performance meets our expectations

This [vendor unwillingness to conform to library's requirements] happened with 2 European vendors in the past decade. When attempts to rectify the situation proved unsuccessful, we changed vendors, both of whom have been working admirably. Also occurred with one American subject-specialized vendor. We have never found an adequate replacement.

Encourages selectors to be lazy

Vendors are slow to make profiling changes

These are common problems - not necessarily major

Cannot verify with surety that a particular title will be shipped. Hence the Library must order materials needed for Course Reserve or research even though the materials may come via approval plan.

Announcement from publisher received long before slips

This [acceptance of marginal material] was formerly a problem with oneof the plans, but has been resolved. Otherwise, no one identified any problems with current plans.

Not applicable. We are satisfied to a great extent with our plans as they now exist.

Staff time for maintaining control files to keep return rates low is considerable

Profiling is a two-way street. The library, not the vendor, is responsible for making sure that the profile reflects current needs.

Excessive duplicate materials because of overlap between British and American approval plans

Program is time consuming: physical handling; review; claiming place substantial demands on staff

New materials sometimes late in arriving

Vendors of small approval plans have sometimes promised service. but failed to deliver. We have not had other problems that we can think of.

Patron order requests are held to avoid duplication and excessive returns

Selectors become overdependent on plans

Vendor has been slow to implement changes in profile

Extra staff time needed for processing

Vendor interpretation of profile and resultant selection not always satisfactory

Vendor's business is selling, not selecting

Question 7: Which of the following staff are actively involved in the administration of approval plans?

Head of collection development	57
Head of acquisitions	75
Head of technical services	16
Acquisitions/ technical services staff	49
Selectors	59
Other	16

Person(s) specified as "Other" include:

Collection development staff

Assistant Head, Acquisitions

Assistant Director for Rssource Development

Head, Central Processing Department

Assistant Directors of Public Service Units

Selectors and faculty

Head of the Monographic Section, Acq. Dept.

Collection Development Committee

Head, Monograph Acq. Division

Middle East Technical Services Librarian

Acquisitions Librarian, Approval Plans

Head of Public Services; selectors in an advisory capacity

Heads of libraries make approval plan decisions

Head of combined selection and acquisition dept.

Head of Public Services; Director of Libraries

Heads of Reference Service Subject areas

Question 8: Which of the following staff review books?

	Number of Libraries Responding
Head of collection development	42
Head of acquisitions	23
Selectors	82
Teaching faculty	24
Head of technical services	4
Acquisitions/technical services staff	13
Other(s)	7

Person(s) specified as "Other" include:

Librarian s
Anyone who wishes to
Head, Central Processing Department
Collection Development Committee

Departmental Librarians
Head, Monograph Acquisition Division
Acquisitions Librarian, Approval Plans
Faculty library representatives; Order Librarian
Reference librarians
Heads of Public Service Divisions
Reference Service staff

Question 9: On which aspects of approval plans are statistics kept?

	Number of Libraries Responding
Number of titles received	72
Number of volumes received	49
Number of returns	72
Number of claims made	20
Titles or volumes by subject	39
Titles or volumes by country of origin	8
Total expenditures	76
Total expenditure by vendor	67
Total expenditure by subject	52
Total expenditure by country of origin	14
Other(s)	14

Categories specified as "Other" and comments include:

Expenditure by area library

Total volumes by subject if supplied by vendor; plans underway to create local record based on LC classification

[Statistics kept] when easily available

Some of those [categories] not checked...are provided by some approval vendors

Most of this info.is available through our automated system. Some info. (e.g. titles or vols. by subject) is supplied or can be supplied upon request from our approval vendors.

Rate of rejection; prices per volume

Number of volumes retained

Only one respondent [within the library] kept statistics, and that consisted of occasional tallies when a particular question arose. (The automated system permits report requests at the pleasure of the librarian.)

All these [statistics kept] provided by vendor

We keep virtually no statistics of any kind (approval or firm order) in Acquisitions. Vendor provides us with an array of management reports on their Approval Plan.

[Statistics kept] by selector

All [statistics] provided by domestic dealer; no statistics kept by the library.

[Expenditure by country of origin] related to vendor used for specific plan.

Average price per volume

Average cost per book

[Titles or volumes by subject and total expenditure by country of origin] only as supplied by vendor

Expenditures listed by internal funds

Reason for return; average price of receipts

Which titles were automatic ship and which were ordered (claimed)

Should be able to extract some of this information from NOTIS

Average cost by subject

Question 10: Has automation caused the library to change its use or management of approval plans?

Yes	24
No	45
Not Applicable	15
No Response	4

COMMENTS ON "YES" RESPONSES:

"It allows us to use automatic loading of Bibliographic records and acquisition information into our automated system rather than doing manual keying."

"We will begin to install Innovacq later this month. We expect vast changes."

"Certain vendors supply floppy disks with bibliographic and fiscal data which allows us to record receipt of materials in our online system in a far more timely fashion and expedite processing workload."

"Have online interface with BNA."

"Workflow was changed to expedite processing of approval plan materials to avoid duplication."

"We cancelled our publisher approval with Cambridge to go with a vendor who can supply us with magnetic tapes."

"In the case of one plan only, the librarian felt pressure to process materials faster in order to enter them into the database. Others reported that they were unaffected."

"Automation has enabled us to tapeload the bibliographic records as soon as the books arrive. This keeps us from ordering duplicates in the time between receipt and acceptance. We also have system records of titles rejected and the reason."

"New position was created to search, enter records into database, process books and invoices. Ability to receive and pay for books in one step led to this. Approval processing bypasses the normal pre-order staff. Thus there are no conflicting priorities with placing firm orders."

"Budget restructuring; tabulation of receipts by subject; better monitoring of returns; tabulation of statistics."

"There is no question that a key factor in our choice of approval vendor was the capability of providing bibliographic and invoice data in machine-readable format."

"It has improved our ability to track notification slips, for example, by supplying better management reports. This facilitates better relationships with vendors since we can be specific in our requests. Electronic transfer is expected to speed local processing."

"Better statistics; can keep closer track of variables such as returns by time of year, reason, recurring publisher, etc.; decreased handling/processing of records."

"We are discussing with vendors plans to receive form selections in an electronic format that is 'word processable'. Many ideas are limited by the priorities of the NOTIS office."

"Claims now placed on line; Many new ways to evaluate vendor effectiveness."

"We no longer generate statistics by vendor and we tapeload records for two largest plans, but must key-in records for others (increases our workload). We no longer file slips in card catalog."

"Use of machine readable tapes."

"Automation has improved the library's ability to effectively monitor the performance of individual approval dealers."

"Processing of books must conform to requirements of the automated system. Automated acquisitions has allowed for the gathering of additional statistical and management information in some cases."

COMMENTS ON "NO" RESPONSES:

"Approvals not utilized automated systems to date."

"It has allowed for more effective, earlier duplicate checking as we receive electronic transmission of approval records from vendors. We also have vendor statistics in our control when we wish to run the reports, rather than relying on the vendor. Automation has reduced the time required to process approval material."

"Only accounting is automated."

"Have had approval plans since 1965."

"We are presently implementing new online system. Potentially management of APs could be affected."

"We recently initiated a plan with U.K. dealer who promised future use of tapes compatible with our system. We would be reluctant to use dealer who was not automated for future plans."

"In-house automation of acquisitions precede major approval plans (American and British) by over a decade."

"We have not changed our automated acquisitions system since we started approval."

"Our acquisitions automation has not changed since 1968. Changes in the use or management of approval plans have been more budget driven than automation driven."

"We had a semi-automated (not linked to on-line catalog) local acquisitions system when we began approval plans. We may adopt another automated acquisitions system which is linked to catalog, but have not done so yet."

"No, with the exception that budgetary information is instantly available and up-to-date for monitoring purposes."

"Both vendor requirements and automation requirements are flexible and have imposed very few changes in the basic business requirements for checking-in a book."

"Pending plans to more fully automate the acquisitions operation will impact the management and processing of approval materials. The full nature and extent of this impact has not yet been determined."

"The large domestic approval plan has never been included on the automated acquisitions system, but titles received on the smaller plans are entered into the automated system.

COMMENTS ON "NOT APPLICABLE" RESPONSES:

"Automation of acquisitions procedures is in an early planning stage."

"Too early to tell. I believe it will." (Just implementing NOTIS.)

"As the vendor increases the number of publishers they supply, the number of books delivered increases. The same holds true when publishers increase their output. These increases have not been considered in the original budgeting, and can cause overruns. Problems can ensue."

"Automation of acquisitions is still in the formative stages."

Question 11: Are current financial changes, including devaluation of the dollar or other changes,causing the library to re-evaluate its use or management or approval plans?

Yes	56
No	32

COMMENTS ON "YES" RESPONSES:

"Proration has caused us to evaluate our procedures for review, and to monitor expenditures more closely."

"The Library is considering using more approval plans to take advantage of better discounts, savings on selection time, and faster receipt of books."

"Cost containment is being considered, but available methods seem crude and counterproductive. Currently using only a spending ceiling on foreign plans, based on past performance and on collecting priorities (expressed as % of full funding)."

"Restricting profile with foreign vendors."

"Price limits are established for foreign plans."

"With diminishing resources for clerical staff, we cannot afford to stop approval plans. However, with diminishing collection development budgets, we must profile more narrowly, select more from forms, and/or return more items. It's a balancing act. Publisher based plans look most attractive (from vendors - not directly from publisher)."

"Management: greater selectivity, more frequent review of profiles, specific approval required for each title retained."

"We are examining all acquisitions to determine where cuts can be made with least damage. Some profiles are being reduced and revised. May eliminate some approval plans."

"Both the devaluation of the dollar and steady state book budgets have reduced the Library's purchasing power. We have consequently reduced the subject and dollar amount coverage of our major, general approval plans for the U.S., U.K., Netherlands, and German-speaking Europe. We have in one case only cut off the supply of books and are selecting from vendor-provided bibliographic slips. In other cases, we continue to receive books at a lesser volume than previously."

"a) Trimmed following profiles: science/technology; Slavic; Italian. b.) Currently initiating review of following profiles: fine arts; humanities; and social sciences."

"We have sought companies that provide the highest discounts, and will be merging a separate science books plan into the major US plan for this reason. We have taken a more active role in reviewing rejects and revising the profiles."

"We have temporarily suspended the approval plan and are receiving forms instead of books."

"We have a British University Press plan which is being considered for cancellation due to the squeeze between our declining budget and the rapid price rise in the average cost of books."

"Modification of foreign part of plan may occur."

"Approval plans have been reduced so that selectors have more money to spend on faculty requests. Selectors are also now given a single dollar allocation for serials, approvals and form orders. They determine what percentage is spent on each type of material."

"We have had to cut back on European plans, and are approaching them very conservatively in FY88."

"Small increase in materials budget is not keeping pace with inflation. Overall budget, therefore, has shifted to 30/70 split for monographs/serials, with sciences heavily allocated to serials."

"We are reviewing our approval plan profiles in order to reduce receipts and expenditures."

"Dollar limits placed on major approval plans; more vigorous monitoring of receipts; reevaluation of publisher profiles."

"As monographic budgets are cut, you need some way to enhance your chances of getting the relatively few books you are still able to purchase. Approval plans, with their delivery of material before it goes O.P., are one such way."

"Geography and Economics Plans cancelled end of 86/87 year."

"We moved our British University Press approval to a British vendor, the same for Canada. We have started new plans recently and expect accurate cost estimates on plans from our vendors to help plan next year's budget."

"We feel we may make a change during fiscal year 1987/88, but it has not been decided what the change will be."

"Our approval plans have a dollar ceiling placed on them. That ceiling was protected during 1986/87 by the reduction of the subject librarian's discretionary funds. We changed vendors this year and the possibility of placing standing orders of Dutch material exists. We will be evaluating whether it is less expensive to place them with our approval plan vendor or continue them with our present standing order vendor."

"For all approval plans: stricter profiles have been established. For foreign approval plans: strict observance of sending limits is enforced; frequent mid-year suspension of plans and possible total cancellation of one plan."

"Although the programs are reviewed regularly and routinely, the present situation for library materials requires an even m ore critical approach to the programs. We currently are looking at reducing the increasing number of multiple copies being acquired through the U.S. approval plans, especially those for our Undergraduate Library. Our first step is likely to be a profile adjustment directed at eliminating duplication in some less important subject areas, as determined by an in-house review of past and present use of approval plan materials. Firm ordering as opposed to inclusion in the approval plans is also an alternative being reviewed."

"Form selections from our German language approval plan, previously charged to general library approval plan budget will now be charged to departmental allocations. We may consider a similar arrangement for our English language plan, or even a publisher-based plan, if the financial situation gets worse."

"Devaluation of dollar will definitely affect amount and depth approval plans will be able to cover for international materials. Cutbacks in discretionary funds will affect types of materials requested on approval. Plans will have to be monitored carefully to maintain fiscal balance."

"Foreign plans are examined and reduced in scope if funding cannot keep pace with costs."

"Dropped one program."

"We are definitely concerned about the German mark and the Dutch guilder in relation to the U.S. dollar, and we expect to closely monitor these fluctuations with respect to our Foreign approval plans."

"This will be done in FY88 due to small budget increase and increase in cost of foreign materials due to devaluation of dollar."

"Our Library is modifying portions of subject-based approval plans into publisher-based approval plans, such as for science and technology within the subject-based BNA plan. We are also revising the subject profiles so that large subject areas, such as philosophy, will be only form selections in foreign plans."

"Plans may expand if anticipated budget increases are received."

"Query slip selection has been cut to a minimum."

"Recent financial changes have prompted a general review of the approval plans. However, review is expected to result in a better fit of the plans to current collection development strategy rather than necessarily in reduction."

"We review profiles more frequently."

"Allocation levels for most plans have been frozen or lowered due to the decline of the value of the dollar. Approval profiles have also been adjusted in many cases so that the library will be assured of receiving continuous coverage of essential subject areas, despite the lowering of allocations."

"We used to budget the Approval Plan as a single line item. With tighter budget, we have broken it down and budgeted by subject so as to control spending."

"Management of plans has been affected by both budget reductions and dollar devaluation. We have instituted more frequent review of parameters, had reduction in approval coverage, higher return rates, and greater reliance on forms."

"We are examining foreign approval plans more closely and more frequently - fewer titles are being accepted."

"We are looking more closely into aspects of approval plans that are labor and/or cost saving."

"All monographic purchases, including approval plans, were targeted to be reduced by 36% for FY 1987-88 or until increased funding is provided by the university administration."

"Vendor performance is constantly monitored. Organizational and personnel changes at Vendor's end provides reasons for re-evaluation."

"Approval plans are reviewed annually to estimate the numbers of titles expected and the likely costs. Multiple copy policy is under review."

"Reduce size of Approval plans; rely more on individual selectors."

"The cost of our general (multi-subject) approval plans, both domestic and foreign, rose sharply in 1985-86. The lower value of the dollar in exchange for foreign currencies, and the increased volume of British publishing contributed to the increased cost of our foreign approval plans. In an effort to contain the rising costs we:

1) instructed our selectors to return 'marginal' material received on approval

2) changed from Books to Forms in one science area, Biology, where the profile does not break subjects down finely enough for our purposes, and

3) are considering shifting some other areas in the sciences to "Forms" rather than Books."

"A decreased number of monographs coupled with a high rate of inflation for sci/tech books necessitated a cut-back in the large domestic approval plan. It now is tied very closely to the curriculum and research needs of the university and provides very little general coverage where no specific academic program exists. The library is considering discontinuing the two

publisher plans and incorporating these two publishers into the general plan because of the greater discounts that can be realized. The British plan, a slips-only plan, is no longer allocated a lump sum, but is charged to individual subject accounts. In general, there has been a shift to more title-by-title selection."

"We may re-evaluate our practice of preferring the British edition ahead of the US edition when Britain is the country of origin."

COMMENTS ON "NO" RESPONSES:

"We are presently concentrating on periodicals."

"We constantly re-evaluate our plans but they are for the most part limited to core subjects, (Science excepted), there is not much to pare back without hurting the collections."

"Quality service is still paramount. However, free shipping charges and free returns are a powerful inducement when reevaluating plans."

"No, though the size of approval plans has varied over the years as budgets and the value of the Canadian dollar fluctuated."

"Not as yet."

"Because of its broad collecting practices [we] continue to find the use of approval plans an effective acquisitions tool."

Question 12: Does the library have direct transmission of data between its automated acquisitions system and an approval vendor?

If YES, specify vendors:

Yes	14
No	70
No response	4

YES RESPONSES AND COMMENTS:

"Blackwell North America, BH Blackwell (accounting information and bib. info.)"

"BNA - Innovacq"

"Baker & Taylor"

"BNA; Faxon"

"Blackwell North America; B.H. Blackwell; Coutts; Baker & Taylor; Midwest Library Service"

"Blackwell North America; Yankee Book Peddler"

"Transmission through tape loading; not direct transmission with Blackwell North America"

"Coutts Library Services; Yankee Book Peddler"

"In the future with Baker & Taylor. We are still in the early stages of NOTIS implementation."

"Yankee Book Peddler; BNA/BHB; Coutts"

"Blackwell North America"

"Majors; Midwest"

NO RESPONSES AND COMMENTS:

"Eventually. It will when Innovacq is installed."

"We will be attempting to load tapes from our vendor, Ballen, into our NOTIS system as soon as the latter is fully operational, probably this fall."

"We communicate with 3 major approval vendors via 9-track tape."

FOR LIBRARIES WITHOUT APPROVAL PLANS

Question 1: Has the library ever considered approval plans?

Of the 6 respondents not using approval plans, answers were as follows:

YES, in the past	2
YES, currently considering	2
NO	2

Question 2: If the library decided not to use approval plans, indicate the three major reasons for this decisions.

Expense of plans	1
Lack of funds	-
Staff resistance	-
Profile/vendor difficulties	2
Other(s)	3

Reasons specified as "Other" include:

We prefer standing orders

Do not acquire current monographs

Our collecting levels and pllicies could not be coordinated with the vendor's plan; in our decentralized library, the logistics of the book review process would be extremely difficult.

Because of the small number of responses, results for questions are shown as number of responses for each reason, rather than ranking.

Question 3: Has the library ever discontinued an approval plan?

YES 3
NO 3

If YES, indicate the three major reasons for discontinuing.

Lack of funds	2
Staff resistance	1
Faculty resistance	-
Profile unsatisfactory	2
High return rate	2
Vendor unsatisfactory	1

Comments:

We will probably reconsider approval plans this year. New Head of Acquisitions is coming; our last plan... was cancelled several years ago; current publishing trends to short print runs create new reasons to use approval. For all these reasons we will look at approval again but will not likely ever establish a broad, comprehensive plan again -- will probably use a leaner, publisher based profile.

Questions and Criteria for Evaluating Vendors

UNIVERSITY OF OREGON

December 19, 1986

To: Science Library Representatives and Department Chairs

From: George W. Shipman, University Librarian GWS

Subject: Approval plan for the Sciences

The University Library is considering using an approval plan for acquiring library materials in the Sciences. We expect this will improve Library service to the Sciences as well as streamline Library processing. If after a reasonable shakedown period the plan we select is not meeting our collective needs, we will either change vendors or return to our previous methods of acquiring science materials.

There will be two open meetings for the discussion of approval plan mechanics. Other arrangements can be made if you are unable to meet at one of these times:

Monday, January 12, 1987 10 a.m.
Wednesday, January 14, 1987 2 p.m.

Location: Isabel Stirling's office, Science Library

Attached is a description of what an approval plan is and the benefits we anticipate from expanding our use of them. The librarians at the open meetings will be ready to answer your questions that arise from reading the description, and other concerns that you may have.

THE LIBRARY • EUGENE, OREGON 97403-1299 • TWX: 5105970354 • TELEPHONE (503)

An Equal Opportunity, Affirmative Action Institution

UNIVERSITY OF OREGON

December 19, 1986

APPROVAL PLAN
FOR LIBRARY MATERIALS IN THE SCIENCES

The University Library will be conducting two open meetings and later inviting several booksellers' representatives to discuss the establishment of an approval plan for purchasing science books. In an approval plan a vendor sends newly published materials to the Library automatically without receiving purchase orders for them. The vendor selects the books to send based on a profile, which is constructed by the library in consultation with the faculty served. Shipments of approval books will be received weekly and materials will be available for review for a week after receipt in the Library. Actual book selection takes place with the book in hand. Books that are not wanted are returned to the vendor.

When faculty and librarians select science approval books for retention, they will also assign the appropriate fund from current science accounts. The approval plan is designed to automatically bring to the Library most of those materials that faculty and librarians would be ordering anyway. The Science approval plan will eliminate the need to place orders for most of what has been ordered, title by title, in the past, thus freeing faculty and librarians to order materials outside the profile. Approval plan booksellers receive books on publication from publishers. The bookseller sends profile-matching books directly and automatically to the Library, eliminating the need for the Library to individually order titles and speeding the acquisition process by several weeks or longer.

Faculty and subject specialists should not be concerned that individual ordering will cease to be an option. Books that will not be received on the plan will be ordered upon request using the same order method that is presently in place. Depending on how comprehensively the profile is written, the Library anticipates that 25% or more of Science Monographic funds will continue to be used for discretionary purchasing. The Library monitors approval plans to ensure appropriate coverage and adherence to the profile.

THE LIBRARY • EUGENE, OREGON 97403-1299 • TWX: 5105970354 • TELEPHONE (503)

An Equal Opportunity, Affirmative Action Institution

The University Library already uses approval plans to acquire materials in several areas. These plans provide comprehensiveness, within our profile, and ensure fast, automatic receipt. One major plan has successfully helped us acquire university press publications at a substantial discount for over ten years.

Expanding the use of approval plan purchasing benefits Library users in several ways:

Years of experience demonstrate that books acquired by an approval plan will already be in the Library or on their way when they appear in reviews or otherwise come to the attention of faculty and other Library users. These publications are thus available for Library users in the most timely manner possible.

Books acquired by approval plan are often purchased at a better discount than those that are ordered individually. Securing good discounts enables the library to stretch its materials budget.

Materials sent on approval are selected on the basis of a profile. Selection by profile helps build the collection consistently and provides for overall support of teaching and research needs. The Library will also continue to meet individual requests for research and program needs that fall outside the profile.

Faculty and Library subject specialists will be freed from submitting individual purchase requests for the standard current imprints that all academic libraries should be acquiring so they can pursue the more elusive and often out-of-print publications that round out and give depth to a library collection.

Books acquired by approval plan will reach the Library before they go out of print. Recent tax laws have forced publishers to maintain smaller inventories than in the past. This has a direct effect on library collection building. If a library does not obtain a book soon after it becomes available it may miss out altogether. Approval plan vendors work closely with publishers to obtain quantities of their publications as soon as they become available. Libraries with approval plans are in a better position to obtain scholarly titles produced in short print runs than libraries which order them individually at a later date.

Books acquired by approval plan improve the chance that they will be hardcover. Publishers are providing fewer

copies in hardcover. In the case where a few copies of a title are available in hardcover, and the rest in paperback, libraries attempt to acquire one of the hardcover copies before they are sold out. Paperbacks are initially less expensive, but they must be bound by the Library's commercial binder before they are shelved so that they are durable enough to withstand many years of use by Library patrons. This adds to the cost of the book and delays availability to the Library patron by several weeks.

A Science Approval Plan ensures the acquisition of standard publications (e.g., Academic, Springer, Wiley) in the most efficient, comprehensive and effective manner possible. Most research libraries employ approval plans; many have major plans covering several subject areas. Each vendor representative will discuss approval plans in general as well as presenting his/her company's philosophy and approach.

The Library invites you to attend and take active part in any or all of these meetings. The open meetings will take place on Monday, January 12, 1987 at 10 a.m. and Wednesday, January 14, 1987 at 2 p.m. in Isabel Stirling's office in the Science Library. If you wish to attend one of these meetings and are unable to meet at these times, we can make arrangements to meet with you at another time. A schedule for the meetings with the booksellers' representatives will be posted and distributed as soon as possible. Please feel free to call the following if you have questions or comments concerning library approval plans:

William Z. Schenck, Head, Collection Development Department X3096
Isabel Stirling, Head, Science Library X3075
Dana Dinwiddie, Head, Acquisition Department X3061

UNIVERSITY OF OREGON LIBRARY
Questions for Science Approval Plan Vendor Presentations -- May/June 1987

PROFILE

1. Are your approval plans subject based or publisher based?

2. On what do you base your subject classification (own thesaurus, LC, etc.)?

3. How many publishers are included in your approval plan program?
   How many/what publishers are excluded?
   Are there non-returnables in your program? How do you handle them?

4. How are non-subject parameters treated in your profile?

5. How are profile adjustments made?
   How long does it take to take effect?

SOURCES
STAFF

6. What are your sources for title selection?

7. Is matching books to profile manual - automated - or a mixture of both?

8. Who codes titles by subject? Education, training, tenure of staff.

9. To what extent can we expect bibliographic entries to match LC?

10. How close can you estimate what the plan will cost based on our profile?
    How do you report when we are off schedule for spending throughout the FY?

11. Who has a comparable plan that we could call?
    Contact person.

FORMS

12. Can you provide a combination book/forms plan?
    Is there a cost for forms?

13. Is the discount schedule for books shipped by the return of a form/
    or as the result of a form the same as for books sent on approval?

14. Do you need to have the forms back, or may we order using our own
    order forms, and code the order to indicate it is the result of a form?
    May we use our own code?

15. Do you invoice separately for books shipped on the plan as the result of
    a form?

16. Do you keep a stock? How large?

17. What is the turnaround time between publishing date and shipment to the library? Where are your books shipped from?

SLIPS 18. What sort of documentation do you provide with each book? Is information coded, or can the layman understand?

19. What can you provide to post in the Science Library? Do packing slips/invoices have fairly complete titles?

20. What alternative shipping schedules do you offer? All weekly?

21. Do you presently offer an electronic interface with the INNOVACQ Acquisitions System? If not, could you provide within a time frame?

DUPS 22. How do you avoid duplication?
Do you have the same database for approval plans, standing orders, and firm orders?
What method do you prefer for claiming, or firm ordering, against approval plan titles?

23. If a series can be received on the approval plan, can you provide the same discount if we wish to establish that series as a standing order with you. Can you ship to a different address, and invoice separately?

24. How do you handle multi-volume sets?
First volume of a series?

RETURNS 25. What is your returns policy? (Including maximim time for full credit?)
What do you consider a reasonable return rate?
May we cross returned titles off the invoice, and not pay for them, or do you require the used of a credit memo?
If so, must we use your credit memo, or may we use our own?

26. We wish to begin our approval plan at the beginning of the fiscal year, but in the middle of the publishing year. How can we avoid duplication of 87 imprints, but also pick up titles we have missed?
Would you be willing to take lists produced off INNOVACQ for titles already on order/received and not send books/forms for these titles?

27. May we obtain additional copies of an approval title at the same discount?
What is the method for obtaining additional copies? How long does it take?

28. How could you accommodate us if we had to spend more money in a short period of time?

29. What if we had to reduce the scope of the plan for the remainder of a fiscal year?

30. What do your reports look like?

BILLING

31. What do your invoices look like?

32. Do you send statements? Are they easy to understand?

33. How do you correct billing errors?
Do you have to contact us for information, or can you determine the correction from your records?

MONITORING

34. How often do you get in touch with approval plan libraries after a normal shake-down period?
What is a normal shake-down period?

35. What, in your opinion, is the best way for the library to monitor the approval plan? Least labor-intensive; consistent; fair to vendor.

36. How do you monitor a library's approval plan with you?
Do you examine returns routinely to detect a pattern?

SHIPPING

37. What provisions do you make for protecting books in shipping?
Are the boxes glued, or merely strapped?
Where are packing slips placed?
Is there a maximum weight/number of books in a box?
Are boxes numbered, e.g. "1 of 4" ?
What steps do you take when a library reports that a shipment has not been received on the expected day?
Can you make adjustments to shipping schedules during, e.g. holiday seasons?

38. If the library reports a damaged or defective book will you ship a replacement before the book has been returned to you?

DISCOUNT

39. What kind of discount schedule can you offer for a plan that will cost in the neighborhood of $85,000 - 90,000 the first year?
Can you give us credit for payment at the beginning of the FY?

PAGE 4

40. Do you charge for shipping?

41. Do you charge a service charge for any titles?
If so, what is the percentage of titles that carry a service charge?
What is your basic service charge rate?
Are both books/books received by the return of forms subject to service charges?

42. If we were to firm order these same titles from you (science titles published by commercial presses) - what would our average discount be? In other words about how much money will receiving these titles by approval plan save us?

43. In your experience, are we more likely to obtain a greater percentage of these titles in hardcover than if we were to firm order them throughout the publishing year?

44. What questions haven't we asked that we should have?

UNIVERSITY OF WATERLOO LIBRARY

M E M O R A N D U M

TO: D.P. Robertson
Vice President - University Services

FROM: Murray C. Shepherd
University Librarian

DATE: August 13, 1986

RE: Selection of a Vendor for a Consolidated Dealer Selection Plan for North American and British Imprints

---

Staff of the Collections Management Division and the Reference and Collections Development Departments have been exploring the possibility of consolidating the existing dealer selection plans for North American and British imprints with a single dealer.

The decision to undertake this study was taken in the light of fifteen years experience with the existing plans, the growth in the sophistication of the services that some vendors are now able to provide, and the financial constraints upon acquisitions budgets and buying policies.

The objectives of the study were to look for alternative sources for the acquisition of current imprints that would provide for an improvement in vendor-library communications, better discounts through volume buying, and better service to the academic community.

Six major, North American vendors, known to offer dealer selection plans, were invited to submit a proposal. A copy of our letter is attached.

Positive responses were received from three vendors.

The responses were reviewed by Collections Management staff and Reference and Collections Development Librarians, who were requested to evaluate, compare and rate them with respect to each of the criteria in our request for proposal.

At a joint meeting of the Collections Management Committee and Reference and Collections Development Librarians on July 29, staff were asked to express their preferences both before and after a full and thorough discussion of the responses.

The results were as follows:

	Before	After
Vendor B	0	0
Vendor A	12	17
Vendor C	2	0
Undecided	3	1
Status quo	2	1

June 6, 1986

The University of Waterloo Library is exploring the possibility of consolidating its existing dealer selection plans for the provision of North American and British imprints with a single dealer.

The objectives are to improve vendor-library communications, to provide better service to the academic community and to obtain better discounts through volume buying.

We are inviting you to submit to us a proposal for the provision of the service indicated above. We ask that you give particular attention to the following topics:

1. Ability to provide comprehensive coverage of North American and British imprints and to coordinate the selection of titles published or distributed concurrently in both these geographic areas.

2. Policies and procedures for the construction of selection profiles and the application of profiles to title selection.

3. Maintenance of selection profiles.

4. Bibliographic control - feedback on what has been supplied versus what has not.

5. Speed of delivery:

   a) how soon after the date of publication is material processed by the dealer

   b) how is material shipped to the Library

6. Forms selection services.

7. Returns.

8. Unintentional duplication of firm order and approval titles.

9. Discounts.

10. Service charges.

11. Shipping charges.

12. Statistical reports i.e. number of titles supplied (by discipline), cost, etc.

13. Machine-readable records e.g. MARC records, machine-readable invoice tapes, etc.

14. Electronic mail.

15. Provision for back-up in the event of system failure or personnel changes.

16. Customer service.

17. Ability to handle Canadian imprints.

If you are interested in responding to this request for proposal, we ask that you do so by July 1st, 1986. We are anxious to have our revised and consolidated dealer selection plan in place by August 1986.

Sincerely,

Boris Bruder
Head, Materials Acquisition Department

BB:dp

Combined Dealer Selection Plans for North American and British Imprints

Please rate the vendors against the criteria below on a scale of 0-5
i.e. 0 Poor, 1 Fair, 2 Good, 3 Very Good, 4 Excellent, 5 Outstanding

Criterion	Weight	Raw Score/Weighted Score Vendor A	Vendor B	Vendor C
1. Coverage	0.088	4 / 0.352	2 / 0.176	3 / 0.264
2. Coordination of Selection	0.069	4 / 0.276	0 / 0.000	4 / 0.276
3. Preparation of Selection Profiles	0.078	4 / 0.312	4 / 0.312	1 / 0.078
4. Use of Profiles for Selection	0.078	4 / 0.312	4 / 0.312	4 / 0.312
5. Bibliographic Control	0.059	3 / 0.177	0 / 0.000	2 / 0.118
6. Processing Time	0.049	3 / 0.147	2 / 0.098	3 / 0.147
7. Shipping Time	0.029	4 / 0.116	2 / 0.058	4 / 0.116
8. Forms Selection	0.059	4 / 0.352	4 / 0.352	4 / 0.352
9. Returns	0.010	4 / 0.040	4 / 0.040	4 / 0.040
10. Unintentional Duplicates	0.020	4 / 0.080	4 / 0.080	4 / 0.080
11. Discounts	0.059	3 / 0.177	4 / 0.236	3 / 0.177
12. Service Charges	0.020	4 / 0.080	4 / 0.080	2 / 0.040
13. Shipping Charges	0.039	3 / 0.177	4 / 0.156	4 / 0.156
14. Statistical Reports	0.059	4 / 0.236	3 / 0.177	2 / 0.118
15. Machine-readable Records	0.078	3 / 0.234	0 / 0.000	2 / 0.156
16. Electronic Mail	0.010	4 / 0.040	0 / 0.000	4 / 0.040
17. Back-up	0.069	4 / 0.276	1 / 0.069	2 / 0.138
18. Customer Service	0.078	4 / 0.312	4 / 0.312	4 / 0.312
19. Canadian Imprints	0.049	1 / 0.049	1 / 0.049	4 / 0.196
TOTAL SCORE		68	47	60
WEIGHTED SCORE		3.745	2.507	3.116
NORMALIZED SCORE		100	67	83

Profiles, Descriptions, Guidelines

THE LIBRARY OF CONGRESS

WASHINGTON, D.C. 20540

ORDER DIVISION

Order Number: _____
Date: _____

GENERAL BLANKET ORDER

TO:

This blanket order authorizes you to SPEND NO MORE THAN $_____ during the current fiscal year (e.g., October 1, ____ through September 30, ____) to supply books published between the years ____ and ____ in:

This amount reflects last year's expenditures, expected inflationary increases, if any, and the budgeted priorities of the Library of Congress. Please ration it for use during the course of the fiscal year and apportion it to cover payments for both your selections and our supplementary orders. In order not to exceed the authorization, please limit your selection of literature rather than other categories of publications.

To conserve funds, please limit your selection of single monographs and complete multipart sets to $_____ and $_____ respectively. Please refer incomplete sets and titles that cost more than these amounts to us for selection. We will place standing orders citing this blanket order number for incomplete sets.

I. PUBLICATIONS TO BE SUPPLIED

The kinds of material we want are described below. This list is meant as a guide for selection but is not all-inclusive. It is an outline on which to base your selections and gives examples of the types of publications and subjects in which we are interested. Each is followed by a further, but not necessarily exhaustive, description of the topic and/or special instructions. You may send one copy of new publications which conform to our instructions without further confirmation from us. Please limit your selections to scholarly publications which contain new information, research, or analysis. Try to avoid repetitive and derivative publications. Do not select popular treatments written for the layman or the student. If you are in doubt whether to select particular titles, please offer them to us in writing or place an X beside them in the margins of any

bibliographies, card sets, or lists that you send us for recommendation. Supply titles in monographic series only if they conform to these specifications. We will place subscription orders for series we want to receive on a continuing basis.

A. Reference books: Select industrial, professional, and biographical directories; dictionaries, except pocket dictionaries; and statistical works, especially those in the natural and social sciences.

B. Bibliography and library science: Select bibliographies and works on books and printing, publishing and the book trade, libraries, and library science.

C. Education: Select scholarly works on new teaching methods, curriculum, the history of education, and important educational institutions in your country.

D. Philosophy and psychology: Select scholarly works in these fields and books about philosophers and psychologists of international renown that are written by authors in your country. Do not select clinical psychology, including psychotherapy, and books on the treatment of alcoholism and drug abuse.

E. Religion: Select scholarly works on mythology, theology, major religions, sects, the history of religious groups, and the influence of religion on national life.

F. Anthropology and folklore: Select works on anthropology, archaeology, folklore, customs, and fashion.

G. Sociology: Select theoretical and descriptive works dealing with society, the community, and the family in both rural and urban areas, and with related fields such as criminology, penology, juvenile delinquency, and welfare.

H. Economics: Select publications on transportation, communications, industralization, agrarian reform, econometrics, management, labor organizations, business, finance, banking, and taxation in your country. Select only the most authoritative works on other regional economies and the global economy.

I. Government and politics: Select works on political theory and practice, government institutions, and political parties.

J. History and current events: Select works about your country or region, scholarly books on other areas, biographies of important historical or contemporary figures, and books on related fields.

K. Military and naval science: Select works on military and naval history, strategy, customs, and the role of the armed forces in your country or region.

L. Geography and cartography: Select works on the geography and topography of your country or region and on the history of cartography. Include important studies on urban and rural planning and atlases.

M. Science and technology: Select works that contain new knowledge developed or discovered in your country in the natural sciences (e.g., books on the flora, fauna, and climate of your country); in technological subjects such as aeronautics and manufacturing; and in related fields such as public health and sanitation. Select scientific works that do not relate to your country only if they represent original research or are written by recognized scientists. Do not select works dealing with subjects such as chemistry and mathematics that would be treated uniformly in all countries and languages.

N. Literature and linguistics: Limit selections of novels, plays, short stories, poetry, and essays only to significant works issued by prominent publishers or written by outstanding authors (e.g., those who have won awards or who have been favorably reviewed by reputable critics). Do not select best sellers unless they have literary merit. Also select works on literary history, biography, criticism, the theater, and linguistics. Select a representative sample consisting of __ of the best literature for children of all ages that reflects current publishing trends, highlights the diversity of design and illustration, and reveals new interpretations of social and political themes.

O. Art: Select works on the fine arts, including drawing, painting, sculpture, graphic art, photography, architecture, landscape design, and works on art history, biography, and criticism. Select only the most comprehensive and authoritative works on handicrafts such as textiles and pottery. Also select art exhibition catalogs published by commercial galleries and museums except for any that are excluded in Part VIII. Do not select books of reproductions of well-known and widely reproduced artistics works.

P. Music and dance: Select serious books about music and dance but not music scores.

R. Radio, cinema, and television: Select works on the history, technology, and criticism of these media. Do not select program schedules or books written for fans.

S. Sample serials: Select one sample issue, preferably the first number, of each newly published serial, annual, and periodical publication that conforms to the above topics. It is important that you indicate SAMPLE COPY on the issue itself and on your invoice. If we wish to receive further issues, we will send you a subscription order.

II. EXCLUDED MATERIALS

A. Popular literature and subjects: Do not select books on hobbies, pets, gardening, cooking, dieting, physical fitness, sports, sex, pornography, etiquette, success, careers, astrology, personal finances, coloring

books, comic books, mass market fiction, romantic novels, inspirational, evangelical, or devotional literature, and self-help works.

B. Local history: Do not select histories of groups with limited appeal or nationwide significance such as local companies, banks, societies, cooperatives, labor organizations, churches, and schools.

C. Medicine, agriculture, and law.

D. Educational materials: Do not select school books, textbooks, planning or teaching manuals, curriculum outlines, tests and aids for passing examinations, correspondence courses, college catalogs, do-it-your-self books, dissertations, and theses.

E. Technical publications: Do not select technical reports, standards and norms, individuals patents or specifications, computer programming guides, maintenance manuals, and telephone directories.

F. Guide books and tourist books: Do not select books containing information for tourists or books with little or no text that consist primarily of postcards or photographs of scenery or places to visit.

G. Unrevised editions and extracts: Do not select unrevised, reprinted, or facsimile editions of previously published works or offprints and extracts of articles from journals and books. Do not select the collected works of an author, new editions of the classics, and anthologies.

H. Translations: Do not select translations except into English. If a book is published in several editions by language, one of which is English, supply the English edition only. Otherwise, supply the edition in the major language spoken in the country of publication.

I. Special formats: Do not select loose-leaf publications, pamphlets (i.e., books with fewer than 50 pages), large print books, or miniature books (i.e., books less than 4 inches or 10 centimeters in height).

J. Non-book material: Do not select manuscripts, maps, motion pictures, microforms, phonorecords, tapes, cassettes, slides, and filmstrips. If the Library wants to purchase any of these materials, we will place special orders for them.

K. Multiple imprints: If a book names several cities of publications on the title page, supply it only if the primary place of publication (i.e., the one named first or otherwise distinguished by typography) is located in your country. Do not select any book that is also published or was once published in the United States or that is available from an exclusive distributor in the United States.

L. Vanity press publications and self-published works: Do not select books published by firms that specialize in producing books at the author's expense and risk. This exclusion does not apply to small presses owned by private individuals or groups and which publish only those works selected by their editors for their literary or bibliographical merit.

M. Government and society publications: Do not select publications or documents issued by the following:

Local, provincial, national, or international governmental organizations
Learned or professional societies and associations
Universities and other educational institutions
International organizations
Banks, businesses, foundations, clubs, labor organizations, political parties, and genealogical societies

Generally the Library of Congress acquires publications of this type through non-commercial sources. University press publications may be selected unless excluded in Part VIII. Do not select publications issued jointly by a commercial publisher and any of the groups listed above.

III. LIBRARY OF CONGRESS SELECTIONS

In addition to the publications that you select and supply on your own initiative, the Order Division will also transmit orders for titles that have been recommended for purchase by the Library. Our orders will cite this blanket order number and will be charged to the authorized amount. If we want to purchase expensive or excluded publications, our orders will bear the legend, NOTWITHSTANDING RESTRICTIONS, as your indication that the material can be supplied. If we unknowingly order publications that exceed the price limit or that fall within an excluded category, please return our orders with your report and await our reply before supplying the material. We will also initiate all orders for non-current publications which can be supplied even though our orders will not say NOTWITHSTANDING RESTRICTIONS. If we inadvertently order publications that you have already supplied, please return our orders with your report but do not supply duplicates.

IV. DEALER REPORTS, CLAIMS, AND CANCELLATIONS

Please send all offers of additional material; all status reports such as out-of-print, unavailable, or not-yet-published; and all requests for confirmation of out-of-scope publications to the address given in Part VI. We shall claim all dealer selections and Library of Congress orders that have not been supplied after one year. Please report on the status of the titles we claim, but do not supply duplicate copies. If you have not been able to supply a title after three years, please consider it cancelled. If it later becomes available, please offer it to us for selection but do not supply it automatically. Once each year, we will claim all outstanding multipart sets by sending you two copies of our Standing Order List. Please keep one for your records but edit and return the other one to us, indicating any titles we have omitted as well as any that have been completed or abandoned.

V. GENERAL CONDITIONS OF THIS ORDER

A. Should the amount authorized this year not be sufficient to supply publications based on our specifications or should you find before the end

of the fiscal year that the cumulative cost of the material you have sent is approaching the total amount authorized, please send us your estimate of the increase necessary as soon as possible, and we shall send you further instructions.

B. All material is sent on approval, and titles that are approved and accepted will be purchased by the Library of Congress. The Library may return without prior permission any duplicate or unwanted publications selected by the dealer up to a total value of 5% of the amount authorized for the fiscal year.

C. Do not permit another supplier to send material quoting this order number. If you cannot get the material and ship it to us, please inform us, and we shall order it directly from the supplier.

D. This agreement covers the current fiscal year only; however, it is subject to annual renewal. It may also be terminated by either party after 30 days notice of termination to the other party.

VI. PACKING AND SHIPPING INSTRUCTIONS

A. Materials should be packed in strong, protective, waterproof containers and should be secured with strong tape or strapping. Each package should not exceed 50 pounds in weight. Containers should include the name and address of the sender and should be accurately and plainly addressed and sent by AIR FREIGHT/SURFACE MAIL to:

Library of Congress
Order Division (*)
Washington, DC 20540

* Insert the order number here

Unless the material is packed and shipped according to these instructions, the Library of Congress will not be responsible for its loss or damage while in transit.

B. All regular transportation charges will be paid by the Library of Congress except when duplicate or obviously imperfect material is sent. However, the Library cannot pay for or reimburse the shipper for commercial insurance. Therefore, each container should be insured for its full value by any commercial insurance available to the shipper.

VII. INVOICE INSTRUCTIONS

In order that the Library of Congress may pay you promptly for the books you send and avoid the return of invoices that are improperly prepared, please observe the following instructions carefully.

A. Your invoice should specify the Library of Congress purchase order number. If your invoice lists publications supplied under more than one order number, the invoice should cite the order number for each item.

B. Your invoice should list and identify as completely as possible each publication for which payment is claimed. The price of each publication should be indicated. The cost of each item supplied should not be higher than the fair trade price current at the time of shipment.

C. Charges for packing and shipping may be listed as separate items on your invoices for books. If you send separate invoices for these charges, please itemize them and identify the shipment to which they pertain. Postage charges may be listed without sending a receipt. Other shipping charges in excess of $25 must be accompanied by a re-receipt from the shipper. All packing charges must include the name of the packer.

D. You will be paid in US dollars unless you prepare your invoice in your national currency and add the following request to each invoice: "Please pay in ... (name of currency)." You may also prepare your invoices in your national currency and request payment in US dollars at the exchange rate in effect at the time of payment by adding the following request to each invoice: "Please pay in US dollars." Payments in US dollars will be made within 90 days of receipt and acceptance of the material and invoice. Payments in foreign currency cannot be guaranteed to be made within 90 days.

E. Your invoice should be typewritten and prepared in quadruplicate [an original and three (3) copies] made out to: Order Division, Library of Congress, Washington, DC 20540. One copy should be attached to the outside of the package in an envelope labelled "INVOICE." This copy is for customs. If is it missing, the package must be opened at Customs. The original invoice and two copies should be sent separately by airmail to the Library.

VIII. SPECIAL INSTRUCTIONS

Academic Affairs Library

University of North Carolina

Chapel Hill, NC 27514

Collection Development
Davis Library/080A

SOCIAL SCIENCES APPROVAL PLAN (SSAP) PROFILE

rev. 10/86

I. OBJECTIVES

A. To isolate a select group of high-demand and high-quality monographs produced by major English-language publishers that will always constitute an acquisitions priority;

B. To assure the faculty as well as the institutions with whom we are engaged in cooperative collection development arrangements that the library is acquiring a core class of publications in the social sciences on a very comprehensive basis;

C. To ensure acquisition of all appropriate titles, especially with regard to problem publishers;

D. To benefit from the vendor's selection with book in hand, and thereby save time and effort on the part of the social sciences bibliographer, especially in the case of problem titles requiring some investigation before selection, e. g., possible textbooks, how-to publications, and books difficult to evaluate solely on the basis of bibliographical information and publisher's announcements;

E. To get these monographs into the library as soon as possible.

II. SCOPE

A. Imprints

The vendor will supply all appropriate titles produced by the presses listed in Appendix I. Moreover, all titles bearing these imprints published in either the U. S. or abroad are to be supplied.

B. Subject Scope

The Library of Congress classification schedules will serve as the basis for defining the subject scope of the SSAP.

1. Unless otherwise indicated, the library wants all publications falling into the following core social science classes:

   B (exclude non-scholarly treatments of parapsychology (BF 1001-1389) and the occult (BF 1405-1999)

   C

   D

   E

   F

   G (exclude oceanography (GC) unless the work represents a specific social science treatment as well as popular treatments of hobbies, sports, and travel more appropriate to a public library)

   H

   J

   L

   P (exclude belles lettres)

   U

   V

   Because these are core social sciences classes, the emphasis is on inclusiveness, with the library being much more concerned about missing an appropriate title than returning an inappropriate one.

2. Unless otherwise indicated, the library wants only those publications falling into the following classes that treat the subject in relation to its economic, historical, philosophical, political, psychological, or social aspects:

   K (exclude works dealing with the actual practice of law and technical books more appropriate to a law library)

   Q (exclude pure sciences, operations research, neuropsychology, and physiological psychology)

   R (exclude neuropsychology and psychopharmacology and

works that deal with the actual practice of medicine except for general treatments of sports medicine)

S (exclude works dealing with gardening, the actual practice of farming and veterinary medicine, and the more specialized treatments of agricultural economics and agribusiness more appropriate to an applied science library)

T (exclude home economics, cookbooks, industrial arts education, technical works in engineering and photography, artistic photography, and nonscholarly treatments of handicrafts)

See Appendix II for additional guidance on what social science materials of interest to this library falling in these classes is to be supplied.

3. The library wants all publications in the subject categories described in the two sections above that fall into these two general classes:

A

Z (exclude library and information science, publishing and the book)

C. Non-Subject Parameters and Exclusions

1. This program is designed to provide the library with monographic publications. These monographs may be individual titles or multivolume sets; they may also be in a monographic series.

Regularly published numbered or unnumbered series, each has the same continuing title, e.g., Advances in ... or Annual Review of ..., are to be included.

On the other hand, periodicals, e.g., journals, are to be excluded.

2. Elementary textbooks aimed at undergraduate classroom use are excluded, unless they represent a non-traditional treatment or a unusual perspective on a subject. Advanced textbooks, especially those aimed at graduate audiences, are to be sent. Accompanying manuals and workbooks, however, are not to be supplied.

3. How-to books are generally excluded, unless aimed at an advanced audience or having reference value. Titles aimed at practitioners which also would be useful to graduate students in such fields as business, clinical psychology and psychotherapy, education, and social work, are to be supplied.

4. Popular treatments of topics adequately covered by the academic literature are excluded, especially if aimed at the public library or self-help markets.

5. Hardback editions are to be provided whenever possible. Paperbound editions are acceptable only when a hardback version is not available.

6. There is no price limit at this time. However, in the case of expensive titles--single volumes costing more than $75 and sets costing more than $150--the library is to be notified before shipment.

7. Blanket exclusions:

microforms

non-print formats

new printings, unchanged reprints, unrevised editions

large-print editions

juvenile books

journal monographs

extracts and offprints

abridgments

programmed texts and study guides

manuals and work books accompanying texts

III. NOTIFICATION FORMS

Notification forms are to be sent when:

an expensive item is involved;

there is an ambiguity about the appropriateness of a title.

IV. SHIPMENTS

A. Send shipments by U.P.S. or U. S. Mail.

B. Send shipments on a regular basis -- weekly if volume warrants.

V. INVOICING

A. Supply one invoice with each shipment, with the original and three copies.

B. Indicate "Social Science Approval Plan" on the invoice.

C. Invoice all books on the approval plan separately from any other books firm ordered from your company.

D. Items to be returned will be credited against appropriate invoices, using credit memos which the vendor will supply. Reasons for returns will be noted on the credit memo.

VI. BIBLIOGRAPHIC INFORMATION

Supply a multi-part form with appropriate bibliographic and price information, along with the books.

VII. CLAIMS/RUSH CLAIMS

The library generates claims only after it has been determined via the OCLC system that an appropriate title has been published and is held by a dozen or more institutions.

A claims letter is sent to the vendor periodically, usually after a score or more claims accumulate. The vendor will respond to each claimed title individually.

In the case of user requests for titles that should have been received, rush claims are phoned in to the vendor. Prompt attention to these user-generated claims by the vendor is very important.

VIII. RETURNS

The program is to be interpreted as an "approval plan," with the library reserving the right to return titles which are inappropriate. Librarians will make every effort to give specific reasons for each return. The vendor is invited to inform the library when returns prove excessive from the firm's point of view.

IX. DISCOUNTS

A. Invoice at list price minus discount which is understood to be 12%.

B. Do not add a service charge for net items.

C. Do not charge postage.

X. COMMUNICATIONS

The library considers it very important that the vendor communicate with us on a frank and open basis regarding any problems or questions.

Matters dealing with the scope of the plan and query slip guidelines should be addressed to Luke Swindler, Bibliographer, English Language Resources-Social Sciences.

Matters dealing with shipment, receipt, and invoices are to be directed to Janet Flowers, Head, Acquisitions Department.

XI. MANAGEMENT INFORMATION

If possible, the library would like to receive management information about the approval plan, e. g., number of titles sent in each category, average price of a title, and so forth, on a regular basis.

If possible, status reports indicating such things as a delay in publication or that the vendor is claiming from publisher are to be provided.

XII. CANCELLATION

Either party may cancel this approval plan with sufficient notice.

APPENDIX I

Publishers included in SSAP

Academic

Analytic (distributed by Erlbaum)

Erlbaum

Halsted (distributed by Wiley)

Lexington

Praeger

Ronald (distributed by Wiley)

Sage

Westview

Wiley (including variant imprints such as J. Wiley of Canada, Wiley/Eastern, Wiley Interscience, and Wiley Medical)

APPENDIX II

Additional guidance on what social sciences materials of interest to this library falling in the K, Q, R, S, and T classes are to be supplied:

K (include, e. g., law and society, law as a profession, biographies of major lawyers and jurists, studies of important trials and legal decisions, studies of major constitutional questions or rights)

Q (include, e. g., history of science, science and society, science as a profession, science education, science policy, studies of important scientists, scientific expeditions and scientific societies, socio-economic works on major industries such as pharmaceuticals, petroleum and biogenetics, ethics in science and scientific research, ethnobiology, ethnobotany and evolution from an anthropological perspective, and mathematical economics/econometrics)

R (include, e. g., medicine and society, medicine as a profession, history of medicine and public health, health care policy, comparative health care systems, medicine and the state, medical anthropology, economics, ethics, geography and sociology, infant and child development, psychotherapy, community mental health, works by and about major psychiatrists and psychonanalysts, psychiatric and geriatric social work, general and social science treatments of alcoholism and mental retardation)

S (include, e. g., history of agriculture, rural development, peasant studies, food and agricultural policy, agriculture and the state, parks management, and the more general and theoretical works in agricultural economics and agribusiness)

T (include, e. g., history of technology, technology and society, technology policy, biographies of major inventors and engineers, studies of major industries such as automobiles, aeronautics, microelectronics and biotechnology, general and specifically social science studies of energy, history of photography and photography as social, political and, historical documentation)

ARIZONA STATE UNIVERSITY LIBRARIES

APPROVAL AND BLANKET ORDER MANUAL

1/9/84

BLACKWELL/NORTH AMERICA APPROVAL PROGRAM (B/NA)

I. Introduction

The largest and most comprehensive of our approval programs, B/NA includes scholarly books published in the United States and Canada in all subjects relevant to our collection. For British books, see the description of the Blackwell New English Books Service (NEBS). A complete understanding of B/NA requires the examination of the following documents, which are listed here along with the physical location of each.

1. "Library Profile for LOAZ" (B/NA's symbol for Arizona State University), a computer printout described in Section II. We receive two copies, one of which is kept on file in Collection and Acquisition Services. The second copy is available for distribution to anyone who requires one or more of the "sub-profiles." Other copies may be made as needed.

2. "Approval Plan - Subject Thesaurus: Hierarchical Arrangement." The thesaurus lists all of the subjects and subdivisions offered by the plan and records our choices for each, i.e., to receive books, forms or nothing for that particular subject. It corresponds to the subject portion of the profile, but is easier to read. The Master (marked) copy is kept in CAS next to the fiche reader and the COM "New Books Status Report" (See item 8 below). The "Introduction" to the subject thesaurus is included in this manual with the title "The Blackwell North America Approval Plan Subject Thesaurus."

3. Blackwell North America Approval Plan Subject Thesaurus: Introduction.

4. "Approval Plan - Subject Thesaurus: Alphabetical Arrangement."

A subject index to the thesaurus.

5. "How to Read a B/NA Profile." A copy is included in this manual.

6. "Definitions of non-subject Parameters." A copy is included in this manual. Lists all NSP's in numerical order.

7. "Description and Use of the B/NA New Books Status Report." Included in this manual.

8. "The New Books Status Report." A microfiche document which contains information on all books handled on approval during the current and past calendar years. The latest edition is in CAS. Our symbol, LOAZ, on this report tells us that we got the book (or just a form if so indicated). The subject and non-subject codes for each title should normally explain why we did not get a particular book. Efficient use of the "New Books Status Report" requires a list of the profile code numbers for excluded categories, such as popular books, etc. (see example in Section IV). The Coordinators will assist you in compiling such a list, which will vary according to the sub-profile.

9. "Types of Series - B/NA Designations." Describes all of the series available in the B/NA Program, with examples of each. A copy is included in this manual.

10. "Standing Order Catalog Data." A microfiche report that lists all standing orders. Those that we have with B/NA are indicated by our symbol, LOAZ. This report is kept in Serials Records. A copy of a paper description of this report, entitled "Standing Order Microfiche Service," is included in this manual.

II. LIST OF B/NA SUB-PROFILES

page 11 of Section A

Because the requirements for some subjects differ from others, and for other reasons described below, ASU has not one profile, but seventeen distinct sub-profiles. The "Library Profile for LOAZ" actually consists of these seventeen computer printouts. After ~~the list of sub-profiles~~, there is a list of B/NA subjects (arranged by B/NA code number), with the number of the sub-profiles(s) on which that subject appears. In effect, this is a master subject index to all of the sub-profiles. It may be used when one wants to know how a particular subject is treated and does not know in which profile(s) that subject appears. The next step is to consult the computer printout for the appropriate sub-profile.

001. General Books. The basic profile for all subjects not otherwise covered by other sub-profiles.

002. General Forms. The corresponding sub-profile for subjects for which we want forms rather than books.

003. University Press. Covers university press books in all fields. All such works will be selected for ASU under the provisions of either this profile or 017 (Canadian University Press Books).

004. Local History. Designed to screen out local history outside of the Southwest. Forms are supplied for all other local history books, however.

005. Literary Texts: Books. Covers works of literature.

006. Literary Texts: Forms.

007. Music: Books.

008. Music: Forms.

009. Science: Books. This sub-profile cover all fields of science, ~~but excludes those publishers covered by the Academic Book Center Approval Plan.~~

010. Dentistry. Forms only, to cover Anthropology related dental books.

011. Medicine: Books. ~~Like 009, this one excludes publishers covered~~ by ~~Academic Book Center.~~

012. Medicine: Forms.

013. Business/Economics/Farm Management. This profile was established to include 1983 and later imprints in these fields, which through 1982 had been covered by Academic Book Center.

014. Cancelled profile. Replaced, because of vendor error, by next sub-profile.

015. English Language: Foreign Publishers. Covers only the few of these publishers which B/NA can supply effectively. These are: de Gruyter/Mouton, Elsevier/North Holland, S. Karger and (possibly) Harwood. See also "Approval Plan Profile for English Language Material from Western Continental Europe," included in this manual.

016. English Language: Foreign Publishers: Forms.

017. Canadian University Press. Established to exclude French language books from Canada.

III. ELEMENTS OF THE SUB-PROFILE

For a full explanation, see "How to Read a B/NA Library Profile." Each sub-profile consists of the following elements:

1. Subject descriptors, in numerical order. For each descriptor, the profile indicates what action we chose, i.e., books or nothing. In the latter case, it is necessary to consult the corresponding "Forms" profile, when there is one, to determine whether we requested forms for that subject.

2. Publishers. In most of the sub-profiles, the list incorporates those organizations whose publications we receive on membership or standing order and which we therefore do not want on approval. The Science sub-profiles exclude publishers whose books are supplied by the Academic Book Center approval plan.

3. Non-Subject Parameters. For a complete list, see "Definitions of Non-Subject Parameters." There are twenty major NSP's, each of which has from two to forty-one sub-categories. NSP's describe various characteristics of books, such as level of academic difficulty, type of edition, language, series and printing history (new versus reprint). They permit a great deal of flexibility in the establishment of a profile because one subject may require, for example, translated works, while another may not. The sub-profiles were created to permit such distinctions. Whenever one subject requires NSP's that differ in any way from one of the already established profiles, a new sub-profile must be set up.

4. Country or origin and country of publisher (NSP's 16 and 17).

5. Series choices (see "Types of Series: Blackwell North America Designations"). Series are included in the sub-profiles as NSP's 19 and 20. NSP 19 records our choice to receive the first volume of any new series. NSP 20 varies according to the sub-profile: here we record our decisions to receive subsequent volumes of some kinds of series and not others on approval.

IV. NON-SUBJECT PARAMETERS THAT ARE EXCLUDED FROM THE GENERAL PROFILE (001)

Because the sub-profiles differ in their treatment of NSP's, subject specialists should examine the sub-profiles in their disciplines and compile a list like that below for their own use. As an example of the most typical exclusions, the following table indicates the NSP's excluded from sub-profile 001, which brings us most of our trade books in fields other than science or business. The latest edition of this sub-profile at the time this was written was 9/2/83.

1. For these NSP's, we receive neither books nor forms:

TYPE OF BOOK	NSP	CODE	DEFINITION
Lower undergraduate textbooks	01	03	Textbook intended for students in courses offered during the 1st half of undergraduate college work.
Popular Collection	04	06	Used for books of a non-academic nature that are intended mainly for relaxation reading.
Selected Works	05	04	Selections of previously published writings of an author.
Collected Articles Previously Published	05	08	A collection of articles ("readings") by several authors, all or most of which have been previously published. May include some new introductory or running commentary by an editor. Not used for literary writings.
Anthology	05	09	A collection of literary writings by several authors, generally previously published, but occasionally original works. [Should have no effect here since literary works are in another profile].
Abstracts & Extracts	05	10	A work consisting of synopses and summaries of longer publications, as well as original works being published for the first time in abstract form. May be an abridgement of a previously published work.

Indexing System	05	13	A work presenting an indexing or classification system, possibly in thesaurus or hierarchical format, for a given subject.
Dissertation	05	29	The actual published version of an academic thesis or dissertation, not a book based on one of these.
Journal monograph	05	32	May be either a monographic supplement to a journal or an issue of a journal that is published separately in monographic form. Often available as part of a subscription.
Translated Articles	05	33	A collection of individual works that have been translated into one language from one or more other languages, but which had never previously been published in the original language as a single work.
Musical Score	05	34	Musical compositions
Combination of original and translation	05	35	Often in parallel format.
Art Museum as Publisher	09	07	Both private and public art museums and galleries.
Personal Author	09	08	The author as his own publisher.
Reprint	10	02	A book that has been reproduced mechanically, or whose type has been reset from a previous printing of the same work, is a reprint. May include brief new introductory material.
Spiral or Ring Binder	11	03	A book spiral bound or contained in a ring binder.
Pamphlet	11	04	Paper bound and under 50 pages.
Software	11	16	Computer software.
Popular Treatment	14	31	Used for books having an immediate or temporary appeal to the general reader, books in which the author's approach is clearly non-scholarly or non-academic, but not necessarily superficial.

2. For these NSP's we receive forms (on Sub-Profile 001):

Firm Order only	04	07	Because of publisher returns policy, BNA cannot send on approval. (Library has no option on this NSP)
Returnable-Forms	04	08	Same as above, except that the books can be returned if found unsuitable.
Supplementary Course Monograph	05	36	A work intended for students as supplementary or collateral reading beyond the scope of the assigned textbooks. Includes chrestomathies (collections of extracts used in foreign language teaching).
Casebook	05	37	Not limited to legal casebooks; may include case studies and examples from fields such as public administration.
Manuscript Facsimile	05	41	A facsimile edition of a work that was not originally produced from set type or as a typewritten manuscript. May include typed draft of a work showing the author's handwritten annotations and corrections. Not just a reprint.

V. SERIES CHOICES MADE ON PROFILE 001

1. For the following types of series, we will receive not only the first volume, but also all subsequent volumes, provided that each volume falls within the subject guidelines. In order to assure complete coverage of all volumes, it may be desirable to place a standing order for the series. It is never safe to assume that a particular series is being received on approval. Always check the "New Books Status Report," which indicates a series that is handled on approval by the prefix "A/S".

SERIES ALPHA CODE		NUMERIC CODE
NM	A series of numbered monographs sponsored by some organization other than a commercial publisher. May be published and/or distributed for the organization by a commercial publisher.	00003

Bollingen series
John Dewey lectures in philosophy.
Mathematical Assn. of America. Studies in mathematics.
Physiological Soc. Monographs. [Published by Academic Press]

NS A set of numbered nonmonographic volumes, scheduled to be published over a period of time, and not as a multi-volume unit. May or may not be a publisher's series. 00004

Beilstein, Friedrich Konrad. Beilsteins Handbuch der organischen Chemie. (4th ed.)
Boswell, James. Correspondence.
British Library general catalogue of printed books to 1975.

Dictionary of Canadian Biography.

NMS A set of numbered monographs to be published over a period of time, and not as a multi-volume unit. 00005

Anchor Bible.
Bunyan, John. Miscellaneous works.
Encyclopedia of mathematics & its applications.

NMP A series of numbered monographs, for which a commercial publisher is solely responsible. Similar to type of series NM in that the volumes are numbered; and to MP in that it is a publisher's series. 00006

Benchmark papers in geology.
Cambridge Studies in linguistics.
Organic chemistry; a series of monographs.
Twayne's English authors series.

C A serial, consisting of a continuing sequence of numbered non-monographic volumes, each volume being the proceedings of one of a series of conferences devoted to the same topic. Not the regularly held conference of some corporate body. 00009

California Weed Conf. Proceedings.
Cold Spring Harbor Symposia on Quantitative Biology, Proceedings.
Copyright Law Symp. Papers.

CM A series of numbered monographic volumes, with each volume containing the proceedings of a separate conference devoted to a special topic, and having a unique title normally denoting that topic. 00011

British Soc. for Parasitology, Symposia.
Excerpta Medica International Congress Series.
Proceedings in life sciences.

E Numbered, usually irregularly revised editions of a monographic work, typically a handbook, a dictionary, or similar reference book; or a textbook. May be a set, as long as all volumes are revised simultaneously, and each edition treated as a unit. 00015

Black's Medical Dictionary.
Lange, Norbert Adolf. Lange's Handbook of chemistry.
Merck Manual of diagnosis & therapy.

MP A series of unnumbered monographs for which a commercial publisher is solely responsible. Similar to type of series M in that the volumes are unnumbered; and to NMP in that it is a publisher's series. Often the name of the publisher is part of the series title. 00016

Ancient peoples & places.
Brazilier Series of poetry.
Clarendon Library of logic & philosophy.
Willard J. Graham Series in accounting. [An Irwin Series]

MS A set of unnumbered monographs to be published over a period of time, and not as a multi-volume unit. 00017

Classics of Western spirituality; a library of the great spiritual masters.
Cornell Wordsworth.
Shakespeare, William. Works. (Arden ed.)

M A series of unnumbered monographs, sponsored by an organization other than a commercial publisher, although a commercial publisher may publish and/or distribute for the sponsoring body. 00018

Commonwealth Fund Books. [Published by Harvard University Press]
Norwegian-American Historical Assn. Publications. [Published by the association]
World Bank. Research publications. [Published for the bank by Oxford University Press]

2. For the following series, the choice was made to receive forms for subsequent volumes (except for the few identified as not available on approval, such as titles published in fascicles). Note that many of these will be handled on a standing order basis and in such cases we will not receive a form. The "New Books Status Report" identifies such titles with the prefix "S".

ALPHA CODE		NUMERIC CODE
NP	A serial, the same as type of series N, except that it is a publisher's series.	00007

Food products formulary. [An AVI publication]
Foxfire.
New directions in prose & poetry.

N A serial, consisting of a continuing sequence of irregularly published numbered nonmonographic volumes, each containing entirely new material, but not an "advances in" type of series (type A). Not sponsored by a commercial publisher. 00008

Discussion & debates source book.
Rehrauer, George. Cinema Booklist. Supplements.
Wilkins, Wayne. Index of violin music.

CA A serial, consisting of a sequence of numbered nonmonographic volumes, each volume reporting progress, research and developments in a subject field by means of papers presented at a conference. 00010

Advances in cryogenic engineering. [Proceedings of the Cryogenic Engineering Conference]
Intl. Conf. on Atomic Physics. Atomic physics; proceedings.
Progress in cybernetics & systems research. [Papers presented at the Austrian Society for Cybernetic Studies Symposium]

A A serial, consisting of a continuing sequence of numbered non-monographic volumes. Each volume reports on progress, research and developments that have taken place in a designated subject field since the preceding volume was published. 0012

Advances in nuclear physics.
Annual review of entomology.
Progress in behavioral modification.
Review of research in education.

Y A serial, consisting of a sequence of numbered yearbooks, each volume containing entirely new material rather than being a revision of the previous volume. Not the official publication of an organization. Not an "advances in" type of serial. 00013

Annual bibliography of British & Irish history.
Best American Short Stories.
Chases' Calendar of annual events.
Decorative art and modern interiors.
International auction records.
Willis, John. Screen world.

J — A journal, either consisting of issues having monographic titles, or published no more frequently than semi-annually. Issues must be available individually, and not solely by subscription. 00014

Boston College International & comparative law review.
College Poetry Review.
Acad. of Political Science. Journal. [Issues are monographic]

MA — Unnumbered monographic volumes, issued as separate supplements to type of series A, and occasionally as monographic supplements to a journal. Such volumes are sometimes free, or available at a reduced price, to anyone having a standing order or a subscription to the main series. [see also type of series NMA]. 00019

Annual review of entomology. Supplemental issues.
Progress in water technology. Supplements

NMA — Same as type of series MA, except the monographic volumes that supplement an "advances in" type of series are numbered. 00020

Advances in electronics & electron physics. Supplements.
Canadian journal of philosophy. Supplementary volumes.
International review of cytology. Supplements.
Research in Economic history. Supplements.

CO — A serial, consisting of a sequence of numbered non-monographic volumes, each being the proceedings of the regularly scheduled meetings of an organization. [NOTE: If the volumes have unique titles, CM would be the code for the series type, and not CO] 00021

Chicago Linguistic Soc. Papers from the regional meeting.
Electron Microscopy Soc. of America. Proceedings of the annual meeting.
Gulf Coast Assn. of Geological Societies. Transactions.

YO — The annual official publication of an organization. 00022

Engr. Coun. for Professional Development. Annual Report.
Hebrew Union College Annual.
Intl. Folk Music Coun. Yearbook.

SF — A numbered set of fascicles. [Not covered on approval] 00023

Amer. Geographical Soc. of New York. Serial atlas of the marine environment.
Burke, Joseph Francis. Review of the genus Autacodiscus.
Oxford Latin Dictionary. Fascicles.

NSE Numbered irregularly published editions of a set, the individual volumes of which are not all revised simultaneously. One volume may even be revised more often than the others. The individual volumes may or may not be monographs. 00024

Amer. Welding Soc. Welding handbook.
Kolthoff, Izaak Mauritz. Treatise on analytical chemistry.
Reference encyclopedia of the American Indian.

L Loose-leaf updating service or pocket parts. [Never covered on approval] 00025

Amer. Railway Eng. Assn. Deletions & additions to the manual.

YE Numbered annual editions, each volume an update or revision of the previous volume. Almost invariably a reference book. 00026

Book of the states.
Congressional staff directory.
Family Service Assn. Directory of member agencies.
Fodor's Belgium & Luxembourg.
World almanac & book of facts.
Who's who in America.
Books in print.

80

SEE SHIPPING AND INVOICING
INSTRUCTIONS ATTACHED

GENERAL ORDER

This order authorizes you to select and send to THE NEW YORK PUBLIC LIBRARY, Astor, Lenox, and Tilden Foundations (hereinafter referred to as the Library) without further specific request publications specified in SECTIONS II and IV below published in
during the effective period of this order as specified in SECTION I-A below.

I. GENERAL CONDITIONS OF THIS ORDER

A. This order is for books and book-like materials published since and is effective immediately. It may be terminated by either party by written cancellation at any time upon thirty days' notice.

B. PUBLICATIONS SENT UNDER THIS GENERAL ORDER SHOULD NOT DUPLICATE SPECIFIC ORDERS FROM THE LIBRARY AND SPECIFIC ORDERS SHOULD BE DISREGARDED FOR MATERIAL ALREADY SUPPLIED UNDER THIS GENERAL ORDER - UNLESS THE SPECIFIC ORDER INDICATES THAT IT IS FOR AN ADDITIONAL COPY OR COPIES.

C. The agent will supply the Library with a copy of the current national bibliography or some other current bibliographic tool with the items checked which have been sent on general order.

The agent will supply one (1) computer-produced bibliographical record or one (1) 3x5 inch (75 by 125mm) bibliographic slip with each item supplied on the general order, giving adequate bibliographic information.

81

D. Individual publications costing more than U.S. (at the prevailing rate of exchange) are NOT to be supplied on this order. However, notice of such publications should be sent to the Library so that they may be considered for specific ordering.

E. The total value of all publications sold to the Library under this order shall not exceed a total of U.S.$ 75.00 (at the prevailing rate of exchange) for the period - June 30, . At the beginning of each new fiscal year (July 1 - June 30) the dealer will receive from the Library an annual allocation for that year. Written authorization must be obtained from the Library for any publications sent in excess of this stated amount.

F. Payment will be made only after satisfactory delivery. See shipping and invoicing instructions (attached). Please read these instructions carefully.

G. The Library will accept only those materials which meet the specifications of this order. Failure to comply with the conditions of this order will be considered valid reason for return of materials.

II. PUBLICATIONS TO BE SUPPLIED UNDER THIS ORDER

A. Supply ONE (1) copy of each book and pamphlet of documentary or research value upon initial publication (particularly desirable are works representing original scholarly research). New or revised editions should be supplied ONLY if they contain substantial added material or textual changes. If you are in doubt whether to supply particular titles, please offer them to us in writing or place a question mark (?) beside them in the margin of any bibliographies or lists that you send to us for selection purposes.

B. Supply ONE (1) copy of each serial or periodical title (including government publications) newly published in the country (i.e., Volume 1, Number 1, if possible) in the subject fields outlined below; but DO NOT enter a subscription to such serials or periodicals under this order.

C. Supply ONE (1) copy of the first volume or piece of any publication to be issued in parts over a period of time (including government publications but excluding encyclopedias). If the first volume cannot be supplied separately, send a prospectus or description for such multi-volume works. DO NOT enter a subscription for continuations of such works under this order. If the series is wanted, a specific continuation order will be sent to you.

D. Supply a selective sampling of ephemera of social significance (e.g., leaflets, handouts and position papers of student protests or demonstrations). It is noted that such items must be obtained at the time of issue since they are most difficult to obtain later on.

E. The degrees of comprehensiveness with which a subject area should be acquired are as follows:

1. Minimal Collection: A subject area which is OUT-OF-SCOPE for the purposes of this contract. The dealer should NOT SUPPLY material in this category.

2. Basic Information Collection: A collection of up-to-date general materials which will aid readers' immediate understanding of the subject and also indicate the varieties of information available elsewhere. Such a collection consists of handbooks, historical surveys, bibliographies, etc.

3. Instructional Support Collection: A collection which is adequate to support undergraduate and graduate college or university instruction, or sustained independent study. It includes a wide range of basic monographs, complete collections of the more important writers, selections from the works of secondary writers, and the reference tools and fundamental bibliographical apparatus pertaining to the subject, etc.

4. Research Collection: A collection which includes the major source materials required for dissertations and independent research, including materials containing research reporting, new findings, scientific experimental results, and other information useful to researchers. It also includes all important reference works and a wide selection of specialized monographs, etc.

5. Comprehensive Collection: A collection in which the Library endeavors, so far as is reasonably possible, to include all significant works of recorded knowledge for a necessarily defined and limited field. This level of collecting intensity is that which maintains a "special collection"; the aim, if not the achievement, is exhaustiveness.

F. For each subject in which these language restrictions apply, one of the following symbols has been added to the number (1, 2, 3, 4, or 5) that designates the level of collecting for that subject:

E - English language materials only

F - Material in the major languages of the geographic area covered by this contract, plus English, French, German, Italian, Portuguese and Spanish. For subject levels listed as 4 and 5, send major works only in all other languages.

W - Materials in all languages without restriction

III. CATEGORIES NOT TO BE SUPPLIED

DO NOT SUPPLY:

A. Manuscripts

B. Translations

C. Reprints, offprints, or extracts from other publications

D. Textbooks - unless they are the only materials available on the subject, or if they can be used for research purposes

E. Children's books

F. Monographs which are parts of a numbered series - except those which are covered under II.B and C above, or by special arrangement.

G. Newspapers

H. Music scores or sheet music

I. Non-book materials, i.e., maps, posters, prints, postage stamps, phonodiscs, tapes, etc. unless they are an integral part of the book

J. Micro-publications; but send announcements and brochures as received

K. Dissertations or theses

L. Private press books

M. Books or book-like materials known to be published at the same time in different countries, unless specifically instructed to do so.

N. Collected works in any field (but send offers of such materials)

O. Proceedings of scientific conferences or congresses, international or otherwise

P. Encyclopedias (NOTE: Send a quotation or description for all new encyclopedias. DO NOT supply automatically on this order.)

IV. Subjects TO BE SUPPLIED
(with exceptions noted)

NOTE Subjects are divided into broad areas as follows:

A. GENERAL REFERENCE WORKS

B. GOVERNMENT PUBLICATIONS

C. HUMANITIES

D. HISTORY & AREA STUDIES

E. SOCIAL SCIENCES

F. SCIENCES

G. TECHNOLOGY

The Library has accepted national consortial responsibility for certain subjects included in this agreement. These subjects are marked with an asterisk (*). We realize that not all of these subjects may be applicable to this contract, but request that you take special care to supply material in these areas so that we may meet our consortial responsibilities.

	Degree of Coverage
A. GENERAL REFERENCE WORKS	
1. BIBLIOGRAPHY	4W
Send all bibliographies (excepting popular and elementary booklists) in all subjects in which the Library collects as indicated in this general order.	
Send ONLY major bibliographies in other subjects.	
2. BIOGRAPHY (individual and collective)	4W
Send biographies of noteworthy persons in any major field of activity.	

3. BLACK CULTURE.....5W

(Works relating to Black people anywhere in the world)

4. DICTIONARIES (both language and subject).....4W

Send new editions of standard unabridged dictionaries either in one language or polyglot. Send ONLY the first volume of a multi-volume work or as noted in II-C above.

5. DIRECTORIES.....4W

Send ONLY the following:

a. Directories of capital cities and other major cities

b. National directories of the major professions, religions and organizations, including libraries and museums

c. National trade and commercial directories

d. Telephone directories

For directories published by government agencies, see under GOVERNMENT PUBLICATIONS, IV-B-2.

6. ENCYCLOPEDIAS

NOTE: Send a quotation or description for all new encyclopedias. DO NOT supply automatically on this order.

7. LEARNED SOCIETY AND MUSEUM PUBLICATIONS.....5W

NOTE: For supply of art publications see IV-C-1.

B. GOVERNMENT PUBLICATIONS

We are interested in receiving government publications in the following categories in accordance with the degrees of comprehensiveness indicated by subject in this contract:

1. Send Volume 1, Number 1, of serials or volumes of sets issued in parts published by national, state, or provincial government bodies in your country, and of the regional offices of international organizations in your country in accordance with paragraphs II-B and C above.

2. Send monographic government publications published by national, state, or provincial government bodies in your country in accordance with the degrees of comprehensiveness indicated herein by subject.

3. Send monographic government publications published by the regional offices only of international organizations in your country (e.g., World Health Organization, UNESCO) in accordance with the degrees of comprehensiveness indicated herein by subject.

NOTE: The Library is a depository for the publications of the headquarters offices of most international agencies. DO NOT send such publications.

C. HUMANITIES

1. ART, PRINTS, and PHOTOGRAPHY

a. Art, Fine and Applied
Publications on all periods and styles in all media from prehistoric to present, with preference given to detailed, well-documented history and criticism rather than popular treatments.....4F

* Art of Eastern Europe - 20th century.....3W

* Art of Latin America - 19th and 20th century.....4F

* Art of Oceania.....4F

* Costume.....4W

* Prehistoric art - General works.....4F

* Primitive art.....4F

Works on Black art and Black artists, Afro-American art and Afro-American artists.....5W

Painting.....4F

Plastic arts.....4F

Architecture.....3F
Exception: American architecture.....4F

b. Prints and Printmaking.....5F
Including: History and criticism of all periods, both Western and non-Western; works on Black art and Black artists, Afro-American art and Afro-American artists.

Exceptions: Works relating to caricature and comic art, including political and social caricature; works relating to bookplates; works relating to specific collections of prints, caricature, and bookplates, both public and private; works relating to the collecting of prints....4F

Conservation of prints.....3F

Iconographical studies and compilations, i.e., works relating to portrait prints, topographical views,etc.....3F

Works relating to technical processes of printmaking....2F

c. Photography
* (1) Artistic photography both Western and non-Western (defined as photography considered as a fine art and illustration medium).....4W
Including: History of images and equipment; criticism - bibliography; monographs on or by individual photographers; photographic essays; documentary photography.

Exceptions: Works on Black photography and Black photographers, Afro-American photography and Afro-American photographers.....5W

(2) Applied photography, e.g., fashion photography, photography in advertising,etc.....4F

DO NOT supply photographically illustrated works where the text is more important than the artistic aspects of the photographs.

(3) Works on motion pictures and cinematography.....3F

(4) Camera manuals and amateurs' handbooks.....2E

(5) Technical aspects of photography.....2F
Including: Optics of camera lenses, chemical properties of film emulsions, etc.

Exception: * Xerography.....3F

d. Exhibition catalogs are to be excluded.

2. BOOKS IN GENERAL.....4W

Including: History of books and bookmaking; Manuscripts; Paleography; Book illustration; Printing; Publishing; Binding; Book production and sales; Conservation of books

Exceptions: Works in Armenian, Turkic languages.....3

Works in Dutch, Finnish, Hungarian, Latvian, Lithuanian, Modern Greek, Romanian, Scandinavian languages.....2

3. DANCE.....5W

Including: Acrobatic dancing; Aesthetic, rhythmic and gymnastic dancing; Ballet; Black dance; Dance notation; Ethnic dance; Eukinetics; Eurythmics; Figure skating; Homogenous societies - dances (primitive); Modern

dance; Roller skating; Sacred and religious dance; Singing games, folk dancing for children, dancing in schools; Social dance; Stage dancing (other than ballet and modern dance); Tap and clog dancing

Also: Printed works on therapeutics, psychology, and physiology, including psychotherapy, movement, anatomy and exercise, relating to the dance.

Exceptions: Dance instruction)
Dance schools) . 4W
Dealers' catalogs)

4. FOLKLORE.....4W

Exceptions: Works in Armenian,Turkic languages.....3

Works in Dutch, Finnish, Hungarian, Latvian, Lithuanian, Modern Greek, Romanian, Scandinavian languages.....2

* French folklore and folk literature.....4F

DO NOT supply general works or general collections of folk tales and legends (except French folklore and folk literature, as noted above).

5. JOURNALISM

Send ONLY categories indicated:

Bibliography)
Newspaper directories)
General and local history of journalism).....4W
Works on individual newspapers)
Influence, power of journalism)

6. JUDAICA and HEBRAICA.....5W

Including: Anti-Semitic writings; Original works in Hebrew on subjects as outlined in Section IV.

* Judaism - Study and teaching, re-

* Yiddish language and literature.....5W

7. LITERATURE.....

Supply at all creative levels:

a. Drama (including plays for screen and television)

b. Novels and Short Stories
Supply materials of established literary merit by recognized authors; also works by authors considered to be of potential literary merit.
NOTE: We refer to FIRST EDITIONS (of first printings) of each work. (See II-A)

c. Poetry
Supply with particular emphasis on works of the avant garde (i.e., presenting experimentation with new verse forms, modes of expression, etc.).
NOTE: We refer to FIRST EDITIONS (or first printings) of each work. (See II-A)

Exceptions: Literary criticism.....4W

Literary works by or about Black people.....5W

* Literature - Guyana.....4F

* Native American literature.....5F

* Spanish literature - U.S. and Canada.....4F

* Spanish literature - Provincial and local.....4F

* Yiddish language and literature.....5F

DO NOT supply:

Collected works in literature (but send us an offer of such material)

Works in literature known to be published in more than one country at the same time unless specifically instructed to do so (but send us an offer of such material)

Novels and short stories of a popular level, unless published in a newly emerged nation (as, for example, an African nation)

Poetry of a popular level, unless it is considered to be of the avant garde.

8. MUSIC (books only).....5W

* Dance music.....5W

* Jewish music.....5W

* Music in theaters.....4W

* Music industry.....4W

* Music journalism.....4W

* Popular music.....3W

Except: Black and American.....4W

* Production of operas.....4W

* Theory of musical instruction and study.....4W

Exceptions: Biographies of major musicians; General works; History of music; Philosophy and aesthetics of music.....3W

DO NOT supply books of instruction in music, music scores, or sheet music.

9. PHILOLOGY AND LINGUISTICS.....4W

Exceptions: Works in Armenian, Modern Greek, Scandinavian languages, Turkic languages.....3

Works in Dutch, Finnish, Hungarian, Latvian, Lithuanian, Romanian.....2

10. PHILOSOPHY

in English, French, German, Italian, Portuguese and Spanish.....4

in all other languages.....2

* Anthroposophy and theosophy.....4F

11. PSYCHOLOGY

in English, French, German, Italian, Portuguese and Spanish.....3

in all other languages.....2

Send ONLY: Cognition, consciousness, reasoning; Creativity; Developmental psychology (but NOT works on child psychology aimed at parents and educators); Emotions; Experimental psychology; Learning and memory (but NOT educational aspects); Major theories (e.g., psychoanalysis, behaviourism - but NOT works on how to do therapy by these theories, or works aimed at professional practitioners); Motivation; Perception and sensation; Personality; Psycholinguistics; Psychology of sex, sex roles and sex differences; psychopathology

Exceptions: Industrial and Social psychology

in English, French, German, Italian, Portuguese and Spanish.....4

in all other languages.....2

* Graphology, palmistry, phrenology and physiognomy.....4F

DO NOT supply works on applied or medical aspects.

12. RELIGION, CHRISTIAN

Send ONLY: Bibliography and history of religion; Bibliography of the Bible.....4E

Dictionaries; Comparative studies.....3E

13. RELIGIONS OF THE ORIENT AND AFRICA.....4F

* Bahaism.....4F

DO NOT supply religious tracts or other literature of a too popular nature. (See also IV-C-6: JUDAICA AND HEBRAICA)

14. SPORTS AND RECREATION

Send ONLY: American football; Baseball; Chess tournament books.....4F

NOTE: This category does not include the performing arts.

15. THEATRE.....4F

Including: Circus; Film; Radio; Stage; Television

* Art of acting - Study and teaching.....4F

* Jewish theater.....3W

* Theater in Canada.....4F

Exceptions: Cabaret; Miscellaneous forms of theatre (i.e., public entertainments other than pure dance or music); Music; Puppetry; Theatrical costume.....2F

NOTE: Works on motion pictures and cinematography are included in Section IV-C-1.

D. HISTORY AND AREA STUDIES

1. ANTHROPOLOGY AND ETHNOLOGY

in English, French, German, Italian, Portuguese and Spanish.....4

in all other languages.....3

Including: American Indian anthropology and ethnology; archaeology; prehistory

2. GENEALOGY.....4F

Including: Flags; Heraldry; Onomastics

* Diplomatics, archives, seals - Yugoslavia.....4W

* Ecclesiastical and sacred heraldry.....4W

* Family heraldry.....4W

* Genealogy - Great Britain.....4F

* Genealogy - Poland.....4W

* Heraldry.....4W

* Heraldry - Austria.....4F

* Heraldry - Portugal.....4F

Exceptions: General works; Jewish genealogy; U.S. genealogy.....5F

3. GEOGRAPHY (including voyages and travels)

in English, French, German, Italian, Portuguese and Spanish.....3

in all other languages.....2

Exceptions: Atlases.....4W
Cartography.....4W

4. HISTORY.....4W

Exceptions: Works in Armenian, Modern Greek, Scandinavian languages, Turkic languages.....3

Works in Dutch, Finnish, Hungarian, Latvian, Lithuanian, Romanian.....2

Including: Area studies; military and naval history

* Gypsies.....4F

Exceptions: National history of the U.S. and the Americas.....5F

Local history.....

Send ONLY historic provinces, major cities and cultural centers in the geographic area covered by this contract.

E. SOCIAL SCIENCES

1. ECONOMICS

in English, French, German, Italian, Portuguese and Spanish.....4

in all other languages.....2

Supply all subdivisions, especially bibliography.

NOTE: We are particularly interested in materials about government planning for social and economic development, but DO NOT send the plans themselves.

2. EDUCATION

in English, French, German, Italian, Portuguese and Spanish.....4

in all other languages.....2

Send ONLY: Bibliography; History of colleges and universities; Works on the economic, political, and social aspects of education

* Ancient Egyptian education.....4F

* Ancient Indian education.....4F

* Education in primitive and early civilized cultures.....4F

3. LAW

in English, French, German, Italian, Portuguese and Spanish.....4

in all other languages.....2

Send ONLY: Bibliography; General history and theory of law; International law

DO NOT send case law, law commentaries, or law reports.

4. POLITICAL SCIENCE

in English, French, German, Italian, Portuguese and Spanish.....4

in all other languages.....2

5. SOCIAL PSYCHOLOGY

in English, French, German, Italian, Portuguese and Spanish.....4

in all other languages.....2

See also IV-C-11: PSYCHOLOGY

6. SOCIOLOGY

in English, French, German, Italian, Portuguese and Spanish.....4

in all other languages.....2

7. STATISTICS AND DEMOGRAPHY.....4F

F. SCIENCES

1. GENERAL.....4W

Including: Works on science in general, reference works, and bibliographies; History and philosophy of science; Political and social aspects.

2. AGRICULTURE

DO NOT supply works in this area, except as noted in IV-F-1, above.

NOTE: Agricultural economics and statistics are included in IV-E-8.

3. ASTRONOMY.....4F

Exception: Star catalogs.....5F

4. LIFE SCIENCES

DO NOT supply works in this area, except as noted in IV-F-1, above.

5. BIOPHYSICAL SCIENCES

a. Biochemistry.....4F

b. Biophysics.....2F

6. CHEMISTRY.....4W

DO NOT supply works which emphasize medicinal, pharmacological, or biological aspects.

7. EARTH SCIENCES

a. Geology.....4W

Exceptions: Precious stones;
Soil chemistry.....3F
Paleontology;
Soil studies.....2F

DO NOT supply works on paleonzoology or paleobotany.

b. Geomorphology.....4F

Exception: Methodology.....2F

c. Hydrology.....4F

* Regional hydrology of Australasia.....4F

* Regional hydrology of South America.....4F

Exceptions: Bodies of water; Forecast-casting; History; Natural disasters; Natural water properties; Regional hydrology of Europe.....3F

Methodology.....2F

d. Oceanography.....4F

Exceptions: Chemical and physical oceanography; Estuaries; Seawater; Submarine topography; Tides.....3F

8. MATHEMATICS.....4F

Exceptions: Mathematical logic; Number theory; Probability theory; Topology.....3F

9. PHYSICS.....4F

Exceptions: Experimental mechanics; Mathematical physics; Statistical physics.....3F

Scientific instrumentation.....4F

G. TECHNOLOGY

1. BIOTECHNOLOGY.....3F

Send ONLY Technological aspects.

DO NOT supply works on gene manipulation techniques.

2. CHEMICAL TECHNOLOGY.....4F

Including: Cement industries; Clay industries, ceramics and glass; Fermentation technology; Food processing and manufacture; Fuel; Gas industry; Polymers.

* Textile bleaching, dyeing and painting.....4F

Exceptions: Explosives and pyrotechnics; Inflammable liquids and gases; Oils, fats and waxes (including petroleum refining and products, synthetic petroleum, and shale oil); Paints, pigments and varnishes.....3F

3. COMPUTER SCIENCE.....4F

Including: Sybernetics; Information theory; Robotics

DO NOT supply beginning instructional texts or works on home computing.

4. ENGINEERING.....4F

Including: Aeronautical, Chemical, Civil, Electrical, Environmental, Highway, Hydraulic, Industrial, Mechanical, Mining, Nuclear, and Railroad engineering.

* Hydraulic engineering: Dredging, blasting and drilling.....4F

* Mining engineering: Assaying: Mine transportation, haulage and hoisting; Mine drainage; Ventilation and lighting of mines.....4F

Exceptions: Building construction; Electrical lighting and heating; Ergonomics.....3F

* Building construction: Construction equipment; Maintenance and repair.....4F

DO NOT supply standards, or works on agricultural or biomedical engineering.

5. ENVIRONMENTAL TECHNOLOGY.....4F

DO NOT supply works on street cleaning and litter removal, or agricultural wastes.

6. HANDICRAFTS.....4F

Send ONLY: Clothing industry; Toys

* Metalworking

* Painting and finishing

* Woodworking, furniture making and upholstery

7. HOME ECONOMICS

Send ONLY: Cookery and cookbooks (especially regional and local cookery).....4W

Food chemistry and analysis.....4W

Food preservation.....4W

8. MANUFACTURING.....4F

Including: Industrial safety; Metal manufacturing; Paper manufacturing and trade; Robotics; Wood products and furniture.

* Leather industries and tanning

* Rubber industries

* Textile industries

Exceptions: Cereal, grains and milling industry; Chemical processing of wood; Production management.....3F

* Stonework

* Tobacco industry

9. MOTOR VECHICLES.....4F

10. PATENTS AND TRADEMARKS (books about).....4W

_____

Chief, Acquisition Division
Preparation Services
THE RESEARCH LIBRARIES

_____

(date)

Please indicate your acceptance of this order by signing below.

_____

_____

(date)

ATTACHMENT B

On the national level:

1. Abstracts and indexes.
2. Bibliographies.
3. Censuses.
4. Directories listing governmental agencies.
5. Financial reports-budgets.
6. Financial reports-other than budgets.
7. Laws-codes, subject (banking, commerce (domestic and foreign), labor, social insurance).
8. Laws-constitutions.
9. Laws-court reports and court decisions (only highest court).
10. Law-session laws.
11. Legislative debates.
12. Legislative journals.
13. Legislative committee debates (only significant).
14. Legislative papers, if published as collected series.
15. Official gazettes.
16. Reports of legislative, executive, judicial branches of government, if not published as part of collected series (only significant).
17. Statistical publications (other than censuses).
18. Treaties.
19. Yearbooks.

Major subdivisions below national level (states, provinces, etc.):

1. Abstracts and indexes.
2. Bibliographies.
3. Censuses.
4. Directories listing governmental agencies.
5. Official gazettes (selectively).
6. Reports of legislative/executive/judicial branches of government (selectively).
7. Statistical publications (selectively).
8. Yearbooks.

Municipalities:

1. Abstracts and indexes.
2. Bibliographies.
3. Censuses.
4. Directories listing governmental agencies (only for cities over 1,000,000 and capital or largest).
5. Telephone directories listing governmental agencies (only for cities over 1,000,000 and capital or largest, selectively).
6. Financial reports-budget (only for cities over 1,000,000 and capital or largest).
7. Laws-charters (only for cities over 1,000,000 and capital or largest).
8. Reports of legislative/executive/judicial branches of government (only for cities over, 1,000,000 and capital or largest, selectively).
9. Statistical publications (selectively).
10. Yearbooks (for cities over 1,000,000 and capital or largest; for cities under 1,000,000, unless capital or largest, selectively).

THE UNIVERSITY OF TEXAS AT AUSTIN
OPEN MARKET PURCHASE REQUISITION
TO THE
STATE PURCHASING AND GENERAL SERVICES COMMISSION

AGENCY NAME AND INVOICE ADDRESS

Approval/Blanket Order Section
Acquisitions Dept., The General Libraries
Univ. of Texas, Austin, TX 78713-7330

None — INVOICE CODE

DESTINATION OF GOODS IF DIFFERENT

Approval/Blanket Order Section
Acquisitions Dept., The General Libraries
Univ. of Texas, Austin, TX 78713-7330

None — DEST. CODE

DISTRICT NO. 14

REQUISITION NO. U-7-0002-P

DATE 5/28/86

ACCOUNTING INFORMATION (MAXIMUM 30 POS.)

LIB 20-6605-0030

ESTIMATED TOTAL $ 280,500.00

ITEM NO.	CLASS & ITEM 715-10 DESCRIPTION AND SPECIFICATIONS	QUANTITY	STANDARD UNIT
	APPROVAL PLAN FOR DOMESTIC U.S. PUBLICATIONS		
1.	This contract is for approval plan service to provide current United States imprints in accordance with the specifications detailed below for the period from September 1, 1986 through August 31, 1987. Estimated total expenditure for this service is $280,500.00; however, this amount is an approximation and is not guaranteed. The contract will be awarded based upon the ability of the vendor to meet all library requirements outlined herein, to provide the greatest possible discount for the titles supplied, as specified in the BID QUOTATION section, and to provide the lowest annual service charge for providing the monthly, annotated copy of the American Book Publishing Record (refer to section 1.9 for further information). To be considered for this contract, the vendor must provide both of these latter figures, since they will be factored together to estimate the overall comparative cost of the approval program in order to determine the vendor of award. By bidding on this contract, the vendor (CONTINUED)	1	ea.

Suggested Source

INTENDED USE AND/OR APPLICATION OF PURCHASED ITEM AND FULL JUSTIFICATION FOR TYPE, BRAND, ETC.

General Libraries
Dept. Req. No. 5-1

PLEASE REFER ALL BIDS PRIOR TO AWARD.

FAILURE TO SUPPLY PERTINENT FACTS MAY REQUIRE RETURN FOR COMPLETION

APPROVED (1) _____ 93

APPROVED (2) _____ 103

I CERTIFY TO THE NEED FOR THE ABOVE MERCHANDISE AND THAT SUFFICIENT FUNDS ARE ON HAND FOR ITS PURCHASE.

_____
SIGNATURE OF AUTHORIZED REQUISITIONER

Bid Opening Date ..... 3 P.M. _____ 19__

Requisition Number .....

Bidder Must Fill in ⟶ Name of Bidder .....
(Return One Copy Unless Otherwise Requested)

No.	Item and Description	Quantity	Unit	Make/Model	Unit Price	Extension
	agrees to meet all specified stipulations as stated. Default on any specification could result in the cancellation of this contract, if left uncorrected for more than thirty (30) days following vendor notification of such default by the library.					
	RENEWAL CLAUSE: with the mutual consent of the library and the vendor, the term of this contract may optionally be renewed for each of three successive years at the same discount rate for titles supplied and at the same service charge for the monthly, annotated copy of the American Book Publishing Record indicated in the section entitled BID QUOTATION.					
	NOTE: this contract is exempt from the provisions of State of Texas HB 275.					
	APPROVAL PLAN SPECIFICATIONS -					
	1.0 General Specifications					
	1.1 Under this approval plan agreement, the vendor will automatically supply current domestic United States imprints as published, in accordance with a subject profile established by the General Libraries of the University of Texas at Austin (hereafter called the "library"). At the discretion of library staff, this profile may be modified by specific exclusions and/or inclusions based upon subject, format, publisher, or price, at					

Continued on next page.

Bid Opening Date ..... 3 P.M. _____ 19__

Requisition Number .....

Name of Bidder .....
(Return One Copy Unless Otherwise Requested)

Bidder Must Fill in →

No.	Item and Description	Quantity	Unit	Make/Model	Unit Price	Extension
	any time during the course of the contract. The vendor must be capable of implementing such modifications within thirty (30) days of receipt of written notice of such change from the library. Likewise, at library request, the vendor must be willing to undertake a specific or general profile review, as the case may warrant, to verify that the profile in effect is indeed accurate and operating within the parameters established by the library.					
	1.2 Publications meeting profile requirements must be treated on the program and be supplied to the library within forty-five (45) days of release by the publisher, under normal circumstances. In cases where anticipated publications have not been received within the specified period, the vendor must undertake the necessary action to either provide those publications, or provide a satisfactory explanation as to why they weren't supplied. In order to initiate this follow-up process, the library will provide the vendor with a typed 3"x5" form indicating pertinent bibliographic data for each title in question, which will constitute an "approval claim"; receipt of this form by the vendor will automatically serve to initiate the required follow-up action.					
	1.3 A detachable five-part 3"x5" bibliographic data form must					

Continued on next page.

Bid Opening Date ..... 3 P.M. _____ 19__

Requisition Number .....

Bidder Must Fill in → Name of Bidder .....
(Return One Copy Unless Otherwise Requested)

No.	Item and Description	Quantity	Unit	Make/Model	Unit Price	Extension
	accompany each publication supplied on approval, containing at least the following information: a. author b. title/sub-title c. publisher d. place of publication e. imprint date f. price g. series statement h. ISBN i. subject(s) and/or bibliographer name					
	1.4 Invoice price will be based upon the list price or unit price of the publication, less the discount agreed upon in this contract. The freight pass-through (FPT) price must not be considered as the list or unit price when determining the discount price to be charged to the library.					
	1.5 The library may return to the vendor for full credit any title received on the approval plan, regardless of the reason for return.					
	1.6 Shipments of approval books must be received in the library on a regular weekly basis, with all transportation, shipping, and/or handling charges prepaid by the vendor. All packages should be addressed as follows: Approval/Blanket Order Section Acquisitions Department The General Libraries The University of Texas at Austin Austin, Texas 78713-7330					

Continued on next page.

Bid Opening Date ..... 3 P.M. _____ 19__

Requisition Number .....

Bidder Must Fill in → Name of Bidder .....
(Return One Copy Unless Otherwise Requested)

No.	Item and Description	Quantity	Unit	Make/Model	Unit Price	Extension
	Note: the library requires "inside delivery," i.e., all packages must be delivered to the loading dock on the west side of the Perry-Castaneda Library, which is located on the corner of 21st Street and Speedway.					
	1.7 A detachable multi-part 3"x5" bibliographic selection slip similiar to that described in section 1.3 above will be provided to the library for works of significant academic interest in specified subject areas where books are not automatically supplied. These subject areas will be delineated in a sub-profile established in the same format as the profile covering the automatic supply of books. In addition, bibliographic selection slips should be provided to the library for items not automatically supplied due to various non-subject parameters, including price, format, level of treatment, language, etc., if the item otherwise falls within the parameters of the subject profile.					
	1.8 The vendor must be able to provide a cumulative monthly microfiche listing of all titles treated on approval in the preceding twelve months, clearly indicating if the library received, or is due to receive, either a book or a					

Continued on next page.

Bid Opening Date ..... 3 P.M. _____ 19__

Requisition Number .....

Bidder Must Fill in ⟶ Name of Bidder .....
(Return One Copy Unless Otherwise Requested)

Item and Description	Quantity	Unit	Make/Model	Unit Price	Extension
selection slip for each title entry. The microfiche listing should also include forthcoming titles which have been identified for the approval program, but which are still on order with the publisher.					
1.9 The vendor must be able to provide a copy of the monthly edition of the American Book Publishing Record to the library each month, annotated to specifically indicate which titles have or have not been treated on the approval program, and whether the library is to receive the book or a bibliographic selection slip. NOTE: substitute publications will not be accepted in fulfillment of this requirement. Since this service will clearly entail added expense on the part of the vendor, a separate category has been included in the BID QUOTATION section following these specifications, to enable the vendor to indicate the charges for this service.					
1.10 Upon library request the vendor should be capable of providing management reports to assist the library in making budgetary and profile projections. Such information would include the prospective number of titles and/or selection slips to be received in each of the various subject stations of the profile over a given period, along with relevant cost estimates and the					

Continued on next page.

Bid Opening Date ..... 3 P.M. _____ 19__

Requisition Number .....

Name of Bidder .....
(Return One Copy Unless Otherwise Requested)

Bidder Must Fill in →

No.	Item and Description	Quantity	Unit	Make/Model	Unit Price	Extension
	number and cost of titles already received in a given subject area in the current fiscal period, a subject-by-subject analysis of titles returned to the vendor, etc.					
	2.0 Specific Requirements					
	2.1 The approval plan profile for the General Libraries is essentially subject-based. Moreover, even though the majority of publications to be supplied on this contract will be from domestic United States publishers, a list of selected foreign publishers who should also be considered within the coverage of this profile has been included with these specifications. All titles issued by these publishers should be reviewed against the approval profile by the vendor for potential treatment under the approval program, unless they fall into one of the exclusion categories specified in section 2.3 below.					
	2.2 In addition, a list of selected domestic United States publishers who should be excluded from treatment under this profile has also been included with these specifications. Titles published by these publishers should be categorically excluded from any treatment under this approval program.					
	2.3 Unless specifically excepted in the profile subject stations, the following categories should be excluded from treatment in					

Continued on next page.

Bid Opening Date ..... 3 P.M. _____ 19__

Requisition Number .....

Bidder Must Fill in ⟶ Name of Bidder .....
(Return One Copy Unless Otherwise Requested)

No.	Item and Description	Quantity	Unit	Make/Model	Unit Price	Extension
	the approval program: a. works with a list or unit price of $80.00 or more per volume; b. reprints; c. lower-level and upper-level textbooks, juvenile books, laboratory manuals, programmed materials; d. serials, except for the first volume of an annual publication; e. monographic series issued by a non-university press publisher, except for the first volume; f. works in foreign languages; g. works published in foreign countries, except as specified in the list in section 3.1, which indicates foreign publishers whose publications should be considered for treatment under this profile. 2.4 An exception to the above exclusion list is works relating to Latin American and Mexican American subjects. These particular subjects override all non-subject parameters, except those relating to price, reprints, serials, and series. With these exceptions, comprehensive coverage for all domestic United States publishers should be provided for these subjects. 3.0 Publisher Requirements 3.1 Foreign publishers to be <u>included</u> within the coverage of this approval plan: Continued on next page.					

STATE PURCHASING AND GENERAL SERVICES COMMISSION
PURCHASING DIVISION — AUSTIN, TEXAS 78711

Bid Opening Date: 3 P.M. _____ 19__
Requisition Number: _____
Bidder Must Fill in → Name of Bidder: _____
(Return One Copy Unless Otherwise Requested)

No.	Item and Description	Quantity	Unit	Make/Model	Unit Price	Extension
	Academic Press, London (U.K.) ButterworthPublishers (Canada/U.K.) Cambridge University Press (U.K.) Chinese University Press (Hong Kong) Clarendon Press (U.K.) David and Charles (U.K.) Elsevier Applied Science (formerly Applied Science, U.K.) (The Netherlands) Elsevier North-Holland Heyden & Son, London (U.K.) Ellis Horwood Oxford University Press (U.K.) Phaidon (U.K.) Putnam, London (U.K.) Saxon House (U.K.) Springer, Berlin/Springer Verlag (West Germany) University of Tokyo Press (Japan) Universitetsforlaget (Norway) Wiley & Son (U.K.) Wright-PSG (U.K.)					
	3.2 Domestic publishers to be excluded from coverage within this approval plan: AMACOM American Enterprise Institute for Public Policy Research (AEI) Ardis Publishers Brookings Institution Texas A&M University Press Texas Monthly Press Texas Western Press Unipub University of Texas Press All publications of departments					

Continued on next page.

111

STATE PURCHASING AND
GENERAL SERVICES COMMISSION
PURCHASING DIVISION — AUSTIN, TEXAS 78711

Bid Opening
Date _____ 3 P.M. _____ 19__

Requisition
Number _____

Bidder Must Fill in → Name of
Bidder _____
(Return One Copy Unless Otherwise Requested)

No.	Item and Description	Quantity	Unit	Make/Model	Unit Price	Extension
	of the University of Texas at Austin					
	BID QUOTATION: all publications supplied on this contract will be furnished by the vendor at list price, less _____% discount.					
	The annotated copy of the monthly edition of the American Book Publishing Record will be provided by the vendor at an annual service charge of $_____.					

OMS
System and Procedures Exchange Center

Processing and Review of Approval Plans

c) **Receiving Unit**

1. **Receiving Procedures**

Newly received material is checked against order records and special orders (rush, notification, special location etc.) are flagged accordingly. Material is displayed on a regular schedule in the review area designed for that purpose.

2. **Review Areas (see Map, Section E:X)**

The Review Areas allow the subject specialists, reference librarians and faculty to keep informed on new acquisitions, and provide a way for making appropriate cataloging and location decisions on newly received material before it is processed.

Two areas are provided for review: a general review area (Western European language material) and a special language review area (Russian, Chinese and Japanese language material).

1. Description of General Review Area

Included in this review area are domestic and foreign approval/ blanket order shipments, firm orders, gifts, and monographs received on continuation. It also includes new serial titles and first volumes of sets. New serial titles and incomplete monographic sets which require a standing order and/or back order decision are displayed in a special section of the review area until a decision has been recorded.

Both paper and microformat material are displayed for review.

Description of General Review Area (cont.)

The following materials are generally excluded from the review process:

--Rush cataloging and course reserve orders;
--Juvenile and children's books;
--Sound recordings and music scores;
--Large microform sets received on STO;
--Government publications;
--Rare and expensive items to be cataloged for special collections.

When applicable, exceptions to the above are made for reference material.

Material is displayed following cataloging priorities (see Cataloging Priorities and Arrearage, Section C:1), counterclockwise and in priority order.

--Reference material in all languages;
--English language monographs received on approval: BNA, B.H. Blackwell and Harrassowitz;
--English language monographs, i.e., titles processed as firm orders or received on continuation, and gifts;
--English language monographs received on blanket order: Small Press Distributors, Wasmuth and Worldwide;
--First volume of a set or a serial on standing order, in all languages;
--Foreign language monographs, displayed by country of origin: francophone countries, Germany, Italy, Hispanic countries (Spain, Mexico, Argentina, Peru, Brazil, etc.), others;
--Post-1970 out-of-print material in all languages;
--Pre-1970 out-of-print material in all languages;
--STO decisions.

Procedures

The review area is monitored by the Receiving Unit Supervisor who will answer any questions regarding procedures and workflow.

New material is brought into the review area every Monday afternoon and remains on the review shelves for a week. Material which requires a decision is removed after a maximum of two weeks and placed on the appropriate subject specialist's decision shelf (see: Subject Specialist Working Area, below). Subject Specialists are urged to review new material every week.

Requests for Special Locations

Special locations include reference collections, special collections, the Architecture Library, Chicano Studies area, Music Library, Government Documents, Map Service, etc.

Requests for Special Locations (cont.)

Material to be cataloged for a special location must be so designated by placing a SPECIAL LOCATION FLAG (see sample, Section E:IX), properly marked and initialed, in the book.

Material ordered for a reference location is placed directly on the Reference Review Shelf. Subject Specialists and/or Reference Librarians may recommend any material displayed in the review area for a special location. If it is a reference location, the title should be placed on the Reference Review Shelf.

Reference Review Shelf

Requests to place a title in a Reference or Science Reference location are reviewed by the Reference Department Heads and must be approved by them before being processed.

Reference requests are cataloged for the requested reference area, regardless of the title's call number. If a title is needed in more than one reference location, the second requestor will initiate the order for an added copy or subscription by filling out and initialing an order card and attaching it to the SPECIAL LOCATION FLAG.

Approval Plans

Some books received on approval may be out of scope or otherwise unacceptable for addition to the collection. In such cases, the title should be rejected. Mark the appropriate flag (see sample, Section E:IX) for the approval plan through which the book was received with the reason for rejection, initial and place the flag in the book. Rejected books are placed on the bottom shelf of English Language Approvals section (See Map, Section E:X).

Standing Order Decisions

When the first volume of a large set or a serial is received on approval, it is not retained unless a standing order is specifically authorized by the primary selector. Material which requires a standing order (STO) decision is displayed on the top shelf of the Review Area, to the left of the entrance.

A gold strip with a note indicating that an STO decision is needed will already be in the book. To approve the STO, prepare a request card, initial it, insert it in the book and lay the book flat on the shelf below.

Standing Order Decisions (cont.)

If the STO is not desired, reject the volume in hand by filling out the appropriate reject form (see above) and place the book on the reject shelf for approval plan materials.

The same procedure will be followed when the volume received is not number 1 and it is determined that there are previously published volumes which the library does not own. The decision to place the title on standing order will automatically generate an order for the missing parts.

Rush Procedure

A title on display in the review area may be identified for rush processing by placing a yellow "Rush Catalog" flag in the book. The title of the book and the name and department of the requestor must be included so that the same form may be used to notify the person when the book is processed. The notification is sent through campus mail, and generally takes about five working days from the time it leaves the review area.

Notification Procedure

The green "Notification Slip" which is filled out like the "Rush Catalog" flag above may also be placed in any title in the review area. Provided that the book does not end up in a non-circulating location, it will be processed expeditiously and held at the circulation desk of the appropriate library for seven days when it is ready for use.

The time that a title takes to process once it leaves the review area is reasonably short: it varies with binding requirements and the workflow in Technical Services and the circulation areas.

Course Reserve

Course reserve requests are submitted directly to the appropriate reserve location; ample lead time should be allowed for processing prior to the semester the material is to be used. If a book in the review area is identified as an item desired for course reserve, a "Rush Catalog" flag should be placed in the book and the course information indicated on the flag. The requestor will be notified by mail when the item has been placed on reserve in Hayden and Science libraries; the Music and Architecture branches handle this type of notification in a different manner.

II. Subject Specialist Working Area

The Subject Specialist working area is located behind the general review area (See Map, Section E:X) and is not open to the public. The purpose of this area is to ease consultation between Technical Services and subject specialists on cataloging and processing decisions.

"Problem" material is generally identified with an explanatory flag. When subject specialists have made the appropriate decision, they should place the material on the bottom shelf where it is picked up and distributed by Receiving Unit personnel.

The following decisions are brought routinely to the Subject Specialists' shelves: duplicate titles (i.e. nonreturnable titles accidentally duplicated); periodical samples (either ordered by subject specialists or unsolicited); serials for which an analytics decision is needed; pamphlet size literature; and damaged books.

b) Automatic Acquisition Programs

ASU has a variety of approval/blanket order plans, as well as standing order and membership acquisition programs. These programs are intended to simplify the acquisition of currently published material by large trade and university presses and scholarly non-profit organizations. They, in turn, reduce the ordering work load, allowing the subject specialists to focus their selection activities on small or elusive presses, non-trade materials, and other less accessible publications, as well as on retrospective ordering when appropriate. Title by title selection activities are meant to complement, rather than duplicate, the automatic acquisition programs.

The Libraries' general policy is not to order material expected on approval/blanket order plans unless a title is specifically requested by a faculty member or a librarian for <u>immediate use</u>. Otherwise, unless coverage of the title by plan is not clear, such orders will be returned to the subject specialists without being searched.
For the reasons stated above, it is essential that subject specialists become thoroughly familiar with the automatic acquisition plans which covers their areas.

1. Approval/Blanket Order Plans

The libraries currently have major English language approval plans covering a broad range of subjects published in North America and Great Britain. A third program covers English language material published in the European continent in selective subject areas (see list in Section E:V).

Blanket orders are set up to bring in materials from Mexico, Central and South America, Germany, the USSR, China. In contrast with the approval plan concept which allows the return for credit of unwanted material, blanket order receipts may be rejected but they cannot be returned to the vendor. Instead, the BLO monitor communicates to the vendor the type of material being rejected and instructs the vendor to avoid sending such items in the future.

The systematic acquisition of current publications from France and Spain is done by the foreign language specialists in the library rather than through arrangements with a vendor.

Monitoring of approval/blanket order plans is a vital aspect of the subject specialist's assignment, for it helps in verifying that these plans are successfully supplying needed materials. Such monitoring should be carried out by utilizing the searching resources of Collection Development. Problems with plan coverage should be brought to the attention of Collection Development Coordinators for investigation.

In addition, blanket order arrangements have been made for UNESCO and FAO English Language Publications, British and U.S. contemporary fiction, exhibition catalogs, award winning children's books, and Spanish language juvenile literature from Hispanic countries.

For details on subject and non-subject coverage for automatic acquisition plans subject specialists should contact the Collection Development Librarians, the Head of Acquisitions or the language/area specialist in their area of interest.

March, 1985

Indiana University

UGL APPROVAL PLAN

A. Books Procedure

1. The book shipments are received in Acquisitions under the following mailing label:

   IUAP
   Indiana Univ. Libraries
   Acquisitions Dept.
   (U.G. Approval Dept.)
   Bloomington, IN 47405

2. Each shipment will contain books with "Approval Shipment Forms" and an invoice for the shipment. ~~Until it is arranged for Scholarly to add the IU purchase order number and fund 97 to the invoices, the UGL Approval Plan Assistant will add this information to the invoice.~~ The invoice will be dated, the shipment will be checked against the invoice, and each piece will be inspected for damage.

3. The Approval Shipment Forms and a blue UGL approval flag will be inserted in each book. The form set provided by Scholarly has both the invoice number and the shipment date printed across the top. These will be key reference numbers for Acquisitions.

4. The shipment will be delivered by Acquisitions to UGL-TS.

5. UGL-TS will write the class letters on the flag and will sort and shelve the shipment by LC classification on the Approval Plan Shelf.

6. Librarians in UGL will review the books and take one of the following actions:

   a. Accept the book by writing initials and internal fund number on the back of the Approval Shipment Form.
   b. Reject the book by writing "No", reason for rejection, and initials on the back of the Approval Shipment Form. UGL will keep the green copy of the Approval Shipment Form for those titles which are rejected.
   c. Accept the book and order additional copies by writing initials and "order 1 AC", "order 2 AC", etc. on the back of the Approval Shipment Form.

7. Librarians indicate on the weekly check-off sheet that they have seen the books in their selection areas. Before a shipment is returned to Acquisitions, the Collection Development librarian will review to be sure all librarians have seen the shipment.

8. At the end of the review period, UGL-TS returns all books and annotated slips to the UGL Approval Plan Assistant in Acquisitions.

9. The shipment will then be formally checked in, sorted, searched, and routed for cataloging. Since many of these activities have written procedures in the Acquisitions Department, they will not be rewritten for this document.

10. Check-in procedure

a. Normal check-in routines will be followed and the UGL instructions for returns and ordering added copies will be included.

b. Titles which are to be retained will be subjected to a brief searching procedure to standardize the bibliographic information on the Approval Shipment Forms.

(1) Forms will be compared to CIP information to upgrade author and series.

(2) Titles without CIP will be searched on OCLC to upgrade and verify author and series.

(3) All forms for accepted books will be searched in the Process File, so the books can be marked and routed properly for cataloging.

(4) The last copy (cardstock, cream) of the form will be returned to UGL for their process file copy.

(5) The white copy will file in the Acquisitions Process File and the blue copy will travel with the book to Automated Processing.

c. Titles which are to be returned will be considered for offering to other fund managers. Level of text, price of item, and general relevance to the collections will be considered.

d. Titles which require ordering additional copies will follow "a" above for the accepted book and will have the gold and green copies of the form annotated with "UGL", "97", AC, and number of copies to be ordered. These two forms will be passed to the Dealer Assignment Desk where firm orders will be placed with Scholarly for the additional copies. The green copy of the form will be sent to UGL to show how many copies were ordered and the date the order was placed.

11. On a weekly basis, unselected books, Advance Announcement Forms for cancelled titles and Notification Forms for selected titles will be shipped to Scholarly. Each week UGL-TS will send these to Acquisitions along with reviewed materials from approval shipments.

B. Notification Forms Procedure (Multi-part form)
(In lieu of books. Form must be returned for book to be sent.)

1. Notification forms are received in UGL by Collection Development librarian.

2. Collection Development librarian sees that forms are separated by Library of Congress Call Numbers according to the UGL selection areas.

3. Forms are distributed to selectors with due dates indicating when forms should be returned.

4. Librarians review forms to select items:

a) write "send-on approval" on forms for desired items and give these forms to Collection Development librarian.

b) discard forms for items that are not desired.
c) Collection Development librarian reviews forms and sends them to Acquisitions to send to Scholarly.

5. The Acquisitions Department will send the top copy of the form to Scholarly.

Turn around time on notification forms should be approximately two weeks. If a librarian is on vacation or ill, the Collection Development or another librarian should review the forms.

Books selected from notification forms will be sent with other approval plan books and will be treated like them. No separate file is necessary.

C. Advance Announcement Forms Procedure (Single card)
(Either a book or notification form will follow. Card must be returned to stop the title.)

1. Forms are received in UGL by the Collection Development librarian.

2. Collection Development librarian sees that forms are separated by Library of Congress call numbers according to UGL selection areas.

3. Forms are distributed to selectors with due dates indicating when they should be returned.

4. Librarians review forms and "deselect" items as appropriate:

a) write "cancel" across a form for any item which neither a book or a form are desired and give these to the Collection Development Librarian.
b) discard forms for other items (or keep for personal use)
c) Collection Development librarian reviews forms and gives to Acquisitions to return to Scholarly.

Turn around time on advance notification forms should be approximately two weeks.

D. General Notes

1. Acquisitions will not "claim on approval" for this plan. Scholarly will provide status reports which should be forwarded to UGL for information.

2. All communications regarding this plan should be to the attention of Mike Arnold unless other specific instructions are given.

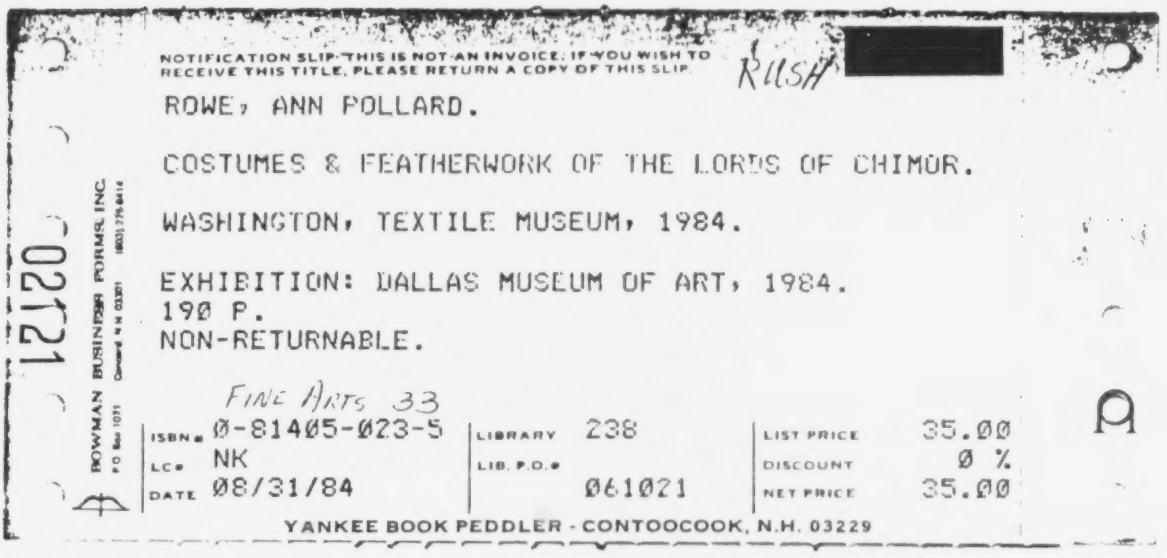
Museum and Gallery Publications Acquisitions Program

Draft procedures - September, 1984

This plan has two main features: 1) automatic shipment of materials in accordance with a profile, and 2) shipment of selection forms for titles excluded from the profile.

Selection Forms

1. Selection forms are shipped directly to the Fine Arts Library. They are 3-part forms which include bibliographic information, price, and IU's purchase order number for this plan. (PO #061021)
Example:



NOTIFICATION SLIP: THIS IS NOT AN INVOICE. IF YOU WISH TO RECEIVE THIS TITLE, PLEASE RETURN A COPY OF THIS SLIP.

RUSH [redacted]

ROWE, ANN POLLARD.

COSTUMES & FEATHERWORK OF THE LORDS OF CHIMOR.

WASHINGTON, TEXTILE MUSEUM, 1984.

EXHIBITION: DALLAS MUSEUM OF ART, 1984.
190 P.
NON-RETURNABLE.

12120

ROWMAN BUSINESS FORMS, INC.

FINE ARTS 33

ISBN#	0-81405-023-5	LIBRARY	238	LIST PRICE	35.00
LC#	NK	LIB. P.O.#		DISCOUNT	0 %
DATE	08/31/84		061021	NET PRICE	35.00

YANKEE BOOK PEDDLER - CONTOOCOOK, N.H. 03229

2. For any titles which are selected from the forms, Fine Arts will add RUSH, fund number, and shelving location as noted above. Fine Arts will keep one copy of the form and send two copies to the Secretary, Acquisitions Department.

3. Acquisitions will search the requested title on OCLC and in the Process File and will report any duplicates back to Fine Arts.

4. Titles which are not duplicate will be ordered. One copy of the form will be sent to Yankee as an order. One copy of the form will be dated, have the fund number and shelving location added, and will be filed in the Process File.

Book Shipments

1. Shipments will contain titles selected as part of the profile and titles ordered by returning a copy of the selection form.

2. Each book should have a multi-part form inserted in it for processing purposes.

3. Normal check-in procedures should be followed for checking the shipment and marking the invoice.

4. The processing forms should be dated as received, have the fund and shelving location noted (33, Fine Arts), and should be distributed in the following manner (except for materials about movies, which should be charged to Cinema 24 and shelved Main):
   a. One copy to travel with the book to cataloging (white, with yellow order copy).
   b. One copy to be filed in the Process File as a control record (yellow).

   Discard all other copies.

5. Note that materials received on this plan are not returnable.

UNIVERSITY OF WASHINGTON LIBRARIES

Acquisitions Division

Division Manual

Section B
Subsection 5.4
December 2, 1985

Approval programs

Attached is a summary of the approval programs operated by the Acquisitions Division. This summary was prepared to provide selectors with a general overview of the programs and how approval materials are handled.

Please direct to the division head's attention any omissions or mistakes in this summary.

APPROVAL PROGRAMS

GENERAL

A number of units in the Libraries operate approval programs as an efficient acquisitions method to obtain, soon after publication, current scholarly titles from a specific country, in a specific language or for a particular subject. Units operating approval programs include the Acquisitions and Automated Records Management Divisions, the Slavic and Near East Sections and the East Asia Library.

Generally, each Acquisitions Division approval program vendor supplies titles from many publishers in response to specifications or parameters developed by the Libraries' selection staff and coordinated by Acquisitions. Selection decisions for approval material are made on the basis of a review of the actual book, with duplicate or unsuitable titles returned to the vendor by the library unit. In addition to books, some approval vendors offer bibliographic selection forms for titles not of automatic interest in order to provide a broader base of selection coverage.

Since there is little standardization among approval programs, each approval vendor offers different program features, forms and other services. In most approval programs, the approval vendor translates a library unit's specifications into program parameters. Exclusions are also usually an important part of the parameters, so that reprints, translations, very expensive and other materials are not supplied automatically. Monographs in numbered series (except for volume one) are generally excluded to avoid duplication with existing standing orders.

ACQUISITIONS DIVISION PROGRAMS

The Acquisitions Division operates eight approval programs: three domestic programs for titles published in the United States and Canada and five foreign programs for titles published in Britain, France, Germany and Spain. As operator, the Acquisitions Division is responsible for communication with approval vendors, the processing of approval books, forms and invoices and coordination of approval parameters. During the 1984/85 fiscal year, over 15,000 titles were received through approval programs by the Acquisitions Division at a cost of about $350,000. A summary of the approval parameters for each program is filed in the Selector Review Area. For the main domestic proram and for the British, French, German and Spanish program, there are lists of contemporary authors whose fiction and poetry are automatically supplied.

DOMESTIC APPROVAL PROGRAMS

There are three domestic approval programs. The largest of the domestic programs covers new scholarly monographs published in the United States and Canada by over 8,000 publishers in most subject areas (except for health sciences, law and agriculture). This program, for which the vendor is Blackwell North America, has been in operation with the Acquisitions Division since 1976. Over 8,000 titles were received on this program in 1984/85.

Blackwell North America supplies both books and selection forms; all books sent on approval are accompanied by a multi-part bibliographic form which includes price, Library of Congress classification number and Blackwell North America's subject and non-subject coding. Blackwell North America converts a library's approval program parameters into the company's 154-page subject thesaurus; the library's approval program exclusions are converted into the company's 150 non-subject parameters. Blackwell North America provides computerized subprofiles which detail how the Libraries' approval parameters are recorded; Acquisitions maintains copies of these subprofiles in the Selector Review Area. Generally, there are separate book and form subprofiles for each fund group. Blackwell North America also provides statistical reports, including cost summaries by subject and a microfiche title index to all approval titles processed in the past twelve months for all its approval clients. BNA also provides a microfiche list of all publishers covered on its approval program.

The next-largest domestic approval program is for health sciences material, the vendor for which is Majors Scientific Books. This program covers about 70 publishers on a list provided by Majors. About 1,700 books were supplied by this program in 1984/85. Both books and selection forms are furnished, with books accompanied by multi-part forms. A very brief subject profile is used by Majors to specify the Libraries' coverage.

The smallest domestic approval program is for monographs published by Springer-Verlag; this program generated about 200 books in 1984/85. Springer-Verlag provides neither bibliographic forms with books nor selection forms. The Acquisitions Division prepares processing forms for materials received on this program.

FOREIGN APPROVAL PROGRAMS

The largest of the foreign approval programs is for British titles, the vendor for which is B.H. Blackwell (parent firm of Blackwell North America). Just under 2,000 titles were sent on this program in 1984/85. Like its North American offspring, B.H. Blackwell utilizes a computer subprofile to record the Libraries' subject and non-subject approval parameter codings. Both books with bibliographic multi-part forms and selection forms are provided in a format similar to that of

Blackwell North America.

The second-largest foreign approval program is for German publications (East and West Germany, Austria and Switzerland) with the vendor Otto Harrassowitz. In 1984/85, about 1,700 books were supplied on this plan. German and English-language titles are supplied in the fine arts, humanities and social sciences but chiefly English-language material only in the sciences. Books are sent accompanied by multi-part bibliographic forms; selection forms are also furnished. Harrassowitz forms include L.C. class but no subject or non-subject codings. Unlike other approval programs, the German plan includes titles in numbered monographic series. When this program was established, Harrassowitz was supplied with a list of the Libraries' numbered German monographic series; titles in series on this list are blocked from approval supply.

The third-largest foreign program, covering 300 titles in 1984/85, is for French publications. This program is also with the British vendor B.H. Blackwell and is focused on French language, literature and history, published in France, Switzerland and Belgium. Books are supplied with bibliographic forms but the forms usually do not include L.C. class or subject and non-subject codings. No selection forms are supplied with the French program; instead, copies of the French national bibliography are mailed to the French selector, with question marks next to possible selections.

The fourth foreign program is for selected titles in history and literature published in Spain. The vendor is B.H. Blackwell. Bibliographic forms accompany books sent on the program but no selection forms are provided. Instead, marked and queried copies of the Spanish national bibliography are sent.

The fifth program, with Otto Harrassowitz, is for European music scores. This program should begin in the summer of 1987.

EXCLUSIONS

As noted earlier, reprints and translations as well as items in numbered series are generally excluded from the approval programs, the exception being the first volume in a numbered series. Titles in numbered monographic series are received on the German program unless they duplicate one of the Libraries' standing orders. For all plans, titles costing over $75 are not supplied, nor are children's books, popular non-scholarly works, government publications or titles from publishers for which the Libraries has an overall standing order. Some approval vendors provide selection forms for items in numbered series and titles costing over $75. For contemporary authors of fiction and poetry (and for music composers), author lists have been established with the approval vendors to control the flow of material sent on approval.

DISPLAY

Each week's shipment of approval program books and selection forms are displayed in the Selector Review Area in the Acquisitions Division on Thursday morning and removed on the following Thursday morning. The display shelves are arranged alphabetically by fund group and, within each group, alphabetically by fund. Selection forms are filed in boxes for each fund group. Selectors record fund, location and their initials on the bibliographic multi-part form for each book (or selection form) which they want to add to the Libraries' collection. Some forms have areas for selector notations. When in doubt, selectors should complete the left-hand forms and may remove any but the top copy of the form for their records. Approval books received as a result of a selector signing a selection form are displayed with Acquisitions' multi-part form in them. Selectors need only add their initials near the price on the blue top copy of the multi-part form. Springer-Verlag approval titles are displayed with the usual order request form in them. Selectors should insert fund, location and initials in boxes 15, 17 and 14, respectively, on the order request form.

If a selector does not review his or her books, their books and forms will be left on their shelves until a selection decision is made. Because invoices must be processed promptly, selectors should make arrangements for another selector to review and sign for their approval materials if more than two weeks will elapse before their review occurs. If a book was sent in response to a selection form, a copy of the selection form may also be included in the book along with the usual multi-part bibliographic form.

For books not wanted, selectors insert a pink REJECT flag in the book and a form specifying the reason for rejection. Rejected books are left on the REJECT shelf for their fund group. For books to be added, selectors record fund, location and initials on the multi-part form and leave the book on the ACCEPT shelf for their fund group. Selectors should refer books to other selectors when appropriate. Acquisitions staff make the initial decision as to which selector will review a title but there are frequent shelving changes after the initial shelving.

Selectors may not remove approval books from the Selector Review Area without first notifying a member of the Acquisitions staff. Selection forms may be removed by a selector.

PROCESSING

After selector review, approval program books and selection forms are removed from the Selector Review Area shelves. Rejected titles are processed for return to the appropriate approval program, after invoice adjustments. Accepted books and selection forms are searched in the main card catalog, in-process file and, if necessary, serials

records. Duplicate books are processed for return to the approval vendor, after the selector has been contacted whether a duplicate is wanted. A copy of the multi-part form is forwarded to the selector for duplicate books returned to the approval vendor. The remaining book titles are entered into the in-process file and, if necessary, multi-part processing forms are produced and funds are encumbered, after which selection forms are filed in the approval area by title.

APPROVAL HOLD PROCESSING

Before orders are placed, all order requests are reviewed to determine whether the title to be ordered is likely to be received on approval. If expected on approval, the order request is entered in the in-process file as an approval hold record, encumbered and held until the approval book is received. Almost 800 approval holds were established in 1984/85. Approval hold records are checked at regular intervals to determine whether the book has been published but not sent on approval (for instance, if it were issued in a numbered series). In such cases, the approval hold is promptly cancelled and a regular order is placed. Rush orders are not usually subject to approval hold procedures.

REJECTS AND RETURNS

Over 87% of all books sent on the approval programs are retained and added to the Libraries' collections. Almost 2,000 books were returned in 1984/85 to approval program vendors--half because they duplicated an existing title in the collection or on order, half because selectors designated titles as unsuitable. Selectors generally have full return privileges where approval titles are concerned, though returns for the foreign approval programs are discouraged because of shipping expense. For foreign programs, selectors are encouraged to specify changes in parameters to eliminate returns. Some publishers participating in the domestic approval programs do not accept returns: all sales are final. For these titles, approval vendors send selection forms rather than books; the notation "nonreturnable" appears in the coding strip at the bottom of the selection form. Books sent in response to these forms cannot be returned, so if selectors do not wish to add them to the collection, the Book Order Section will forward them to the Gift Processing Unit.

Domestic approval program vendors generally advise that a return rate in the range of from 5% to 10% is acceptable. Higher return rates often indicate that a review of approval program parameters, nonsubject parameters or ordering patterns should be considered. Selectors are advised to discuss patterns of returns, subject categories to be deleted or any other approval program changes with the Acquisitions Division Head. Changes may be made at any time. A log is kept on file in the Selector Reference Notebook in the Selector Review Area of all changes in each approval program's parameters.

STATISTICS

Both Blackwell North America and B.H. Blackwell (for the British program) furnish statistical analyses of approval coverage, by subject, for materials sent to the Acquisitions Division. An annual cost study is issued by both vendors covering all books processed for its approval customers in each of that firm's subject descriptors. Both reports are available from the Acquisitions Division Head. The Acquisitions Division also maintains statistics on the number and cost of approval books accepted for each fund and issues a report summarizing this data each year to selectors. Selectors may request more detailed information about their approval expenditures from the division head.

QUESTIONS

Questions about the Acquisitions approval programs should be addressed to the division head.

UNIVERSITY OF WASHINGTON LIBRARIES

Acquisitions Division

Division Manual

Section B
Subsection 5.6
2 July 1986

Selector Review Area

BACKGROUND

The purpose of the Selector Review Area is to bring together, in one location, all monographs requiring selection decisions on a regular basis. While the area was originally designated for the weekly display of approval program receipts (both books and forms), gift, Slavic and special foreign currency programs have been added. Books which selectors requested to be shown to them upon receipt are displayed on these shelves, as are other titles requiring cataloging or binding decisions. Monographic titles received by the Serials Division which require funding and location decisions are also routed to the Selector Review Area. In the past, selectors had several different locations to consult and different procedures to employ for each type of material. Not only is the work of selectors simplified by the Selector Review Area, but Bibliographic Control staff benefit from more timely and consistent selector decision-making. Selector mailboxes also facilitate Acquisitions sorting of its communications to selectors.

ARRANGEMENT

The arrangement of the Selector Review Area is alphabetically by fund group and, within fund group, alphabetically by fund. Approval program selection forms are sorted and shelved with each fund group. Each fund group has its own Accept and Reject shelves. This arrangement is designed to facilitate review by fund managers, as well as by other interested selectors. Selector mailboxes are arranged alphabetically by fund.

Copies of the plan of this arrangement, an index to fund groups and an index to funds are attached.

GENERAL

New materials are shelved for display each Thursday morning. The source of each monograph is identified by flags or bibliographic forms inserted in each book. The subject or fund assignment of monographs is tentative; selectors who wish to refer a book to another selector are encouraged to shelve books as they wish.

A decision is needed for every approval book: either an accept or a reject decision. While books are generally removed from the shelves late Wednesday afternoon, books that bear no evidence of selector review will be reshelved

until a selector decision is obtained. Some accepted books are reviewed by fund managers. Rejected approval books are reviewed by the Collection Development Coordinator and Undergraduate Library staff.

Selector decision-making is recorded on flags in the case of gift, Slavic, special foreign currency programs and serial materials. The recording of decisions for approval books and forms on bibliographic forms is more complicated due to the different forms used for each vendor. A separate description of approval processing by selectors is available.

Index to Selector Review Area

Fund Groups	Section	Shelf	Fund Mgr./Rep.
Area Studies	A	1	Joshi
Fine Arts	B	All shelves	Wagner
Health Sciences	C	All shelves	Weum
Humanities	D, E, F	All shelves	Gould
Interdisciplinary Studies	A	3	Lo
Natural Sciences	G	All shelves	Blase
Physical Sciences	H	All shelves	Hiller
Social Sciences	I, J, K, L	All shelves	Wood
Special Collections	M	1	Menges
Suzzallo Public Services	M	2	Mateer
Undergraduate Library	N, O	4, 5, 6	Frolund

Selected Reading List

System and Procedures Exchange Center

OMS

Office of Management Studies, Association of Research Libraries
1527 New Hampshire Avenue, N.W., Washington, D.C. 20036 • 202-232-8656

SELECTED READING LIST

Rossi, Gary J. "Library Approval Plans: A Selected, Annotated Bibliography." Library Acquisitions: Practice and Theory 11, no. 1 (1987): 3-34.

Reidelbach, John H., and Gary Shirk. "Selecting an Approval Plan III: Academic Librarians' Evaluation of Eight United States Approval Plan Vendors." Library Acquisitions: Practice and Theory 9, no. 3 (1985) 177-260.

Schmidt, Karen A. "Capturing the Mainstream: Publisher-Based and Subject-Based Approval Plans in Academic Libraries." College and Research Libraries 47, no. 4 (July 1986): 365-369; also in Energies for Transition: Proceedings of the Fourth National Conference of the Association of College and Research Libraries, edited by Danuta Nitecki (Chicago: Association of College and Research Libraries, 1986), 30-33.

Sewell, Robert G. "Managing European Automatic Acquisitions." Library Resources and Technical Services 27, no. 4 (October-December 1983): 397-405.

Snoke, Helen Lloyd, and Jean L. Loup. Comparison of Approval Plan Profiles and Supplementary Collection Development Activities in Selected ARL Libraries. A Report to the Council on Library Resources (1986). ED 278412, 54 pp.

Vosper, Robert. "The Blanket Order: Some Historical Footnotes and Conjectures." In Shaping Library Collections for the 1980's, edited by Peter Speyers-Duran and Thomas Mann, Jr. (Phoenix: Oryx Press, 1980), 4-17.

Results of a survey of European approval plan use made recently by the ACRL Western European Specialists Section will be forthcoming. An announcement of publication will appear in the WESS Newsletter.

USES OF SPEC KITS

The Systems and Procedures Exchange Center (SPEC) is a clearinghouse operated by the Association of Research Libraries, Office of Management Studies that provides a central source of timely information and materials on the management and operations of large academic and research libraries. It facilitates the exchange of knowledge and documents through SPEC Kits, which are distributed ten times each year to ARL members and other interested libraries. The Kits include topically-arranged groupings of unedited primary source documents – selected for their value to administrators and decision-makers – that illustrate a wide range of alternative approaches to specfic issues.

Kit documents come from general membership surveys and from selected libraries contacted directly by SPEC, and most Kits are produced within six months of surveys. The documents' value comes from their variety of ideas, methods, and solutions. They are not viewed as finished products, but rather as points of departure for a library's planning efforts and as stimulants to innovative approaches to problem-solving. As such, Kits do not present answers or prescriptions for any one library; instead they illustrate how selected ARL members are planning for or dealing with particular issues. The worth of any one Kit to a particular library will depend upon the specific topic covered and the library's stage of development in that area.

Materials are selected according to the following criteria

- Presents an approach of potential value to administrators and decision-makers
- Timely, and dealing directly with the topic under consideration
- Probability of application of ideas or thinking to other library situations
- Illustrative of actual practice, rather than theoretical
- Understandable, readable communication

All together, the materials should provide a range of alternative approaches that complement each other, provide variety, and stimulate comparison and contrast.

Libraries can take advantage of the Kit compilations in a number of ways. Administrators can evaluate the assumptions, methods, and results of other libraries' approaches; compare and contrast them; and use the learnings in their own situations. Library staff members can use the kits as professional development and current awareness tools. Committees and task forces can use them to begin a review of current practices. And the Kits can identify other persons or places to contact for further information. Back-up files in the SPEC office also are available for loan to member libraries. In addition, SPEC will conduct on-demand surveys or analyses geared specifically for a single library.

EVALUATION

Kit Title/Number _____

1. Which uses did the library make of this Kit?

2. Please indicate how useful the Kit was for these purposes.

☐ Very Useful ☐ Quite Useful ☐ Somewhat Useful ☐ Not Useful

3. Do you have suggestions for this Kit or for future Kits?

(optional)

NAME _____

LIBRARY _____

PHONE _____

Please return this form to the SPEC Center, OMS/ARL, 1527 New Hampshire Ave., N.W., Washington, DC 20036.

1/82